



U.S. Department of Housing and Urban Development

Public and Indian Housing

HOPE VI Main Street Grant Program

FR-6000-N-03

Application Due Date: 04/12/2016

HOPE VI Main Street Grant Program

FR-6000-N-03

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U.S. Department of Housing and Urban Development

Program Office: Public and Indian Housing
Funding Opportunity Title: HOPE VI Main Street Grant Program
Announcement Type: Initial
Funding Opportunity Number: FR-6000-N-03
Primary CFDA Number: 14.878
Due Date for Applications: 04/12/2016

For Further Information Contact: Please direct questions regarding the specific program requirements of this Program Notice of Funding Availability (NOFA) to the agency contact identified in Section VII. Please direct general questions regarding the FY2016 NOFAs to the Office of Strategic Planning and Management, Grants Management Division, at AskGMO@hud.gov. Persons with hearing or speech impairments may access these numbers via TTY by calling the Federal Relay Service at 1-800-877-8339.

Additional Overview Information

Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains requirements for all applicants to HUD's various competitive grant programs, including this NOFA. Applications must meet all of the requirements of the General Section in addition to the requirements of this NOFA to be considered and potentially receive funding. The full title of the General Section is the General Section to HUD's Fiscal Year 2016 Notice[s] of Funding Availability for Discretionary Programs. Copies are available at Grants.gov or HUD's [Funds Available](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail) page, http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.

1. Participative Planning and Implementation. HUD encourages all applicants to HUD's competitive programs to ensure, where applicable, public decision making and meaningful participation throughout the visioning, development, and implementation of funded projects, by residents of affected areas and especially communities traditionally marginalized from planning processes. In seeking public participation, applicants and grantees must ensure that all communications are provided in a manner that is effective for persons with hearing, visual, and other communications-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973 and, as applicable, the Americans with Disabilities Act. In addition Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and Executive Order 13166 require that grantees take responsible steps to ensure meaningful access to services, programs, and activities by persons with Limited English Proficiency (LEP persons).

2. OMB Approval Number(s): 2577-0208

SUMMARY: The HOPE VI Main Street Program provides grants to small communities to assist in the renovation of an historic or traditional central business district or "Main Street" area by replacing unused, obsolete, commercial space in buildings with affordable housing units. The obsolete building space property may be publicly or privately owned. Note, however, that the local government whose jurisdiction includes the Main Street area is the only entity that is eligible to receive an award. Applications from other entities, e.g., the private property owner, are not eligible for award.

The objectives of the program are to:

1. Redevelop central business districts (Main Street areas);
2. Preserve Historic or traditional Main Street area properties by replacing unused commercial space in

- buildings with affordable housing units;
- 3. Enhance economic development efforts in Main Street areas; and
- 4. Provide affordable housing in Main Street areas.

Main Street grant funds can be used to build new affordable housing or reconfigure obsolete or surplus commercial space (or extremely substandard, vacant housing) into affordable housing units. The grant funds cannot be used on general infrastructure or commercial development. Main Street housing units must be affordable to the initial residents that occupy the Main Street housing project, as described in the Use Restrictions section of this NOFA. The funds in the NOFA must be used to assist Units of Local Government that have existing Main Street area rejuvenation projects and meet the population and public housing unit limits stated in the Eligibility section of this NOFA.

I. Funding Opportunity Description.

A. Program Description.

1. Purpose.

The purpose of the HOPE VI Main Street Program is to provide grants to small communities to assist in the renovation of an historic or traditional central business district or “Main Street” area by replacing unused commercial space in buildings with affordable housing units.

2. Changes from Previous NOFA.

Eligibility:

None

Threshold changes:

None

Rating Factor Changes:

There are no material changes to the NOFA this year. However, a few rating factor points have been moved, primarily to increase the weight of Rating Factor 5, Financial and Program Management.

1. The language in Rating Factor 1.A.2., Past Experience, has been clarified. Last year, the reviewers found the language to be unclear. This subfactor has two parts, with two sets of points. The first part concerns timely activity on previous Main Street grants and the second part concerns other previous experience. The language and paragraph numbering have been changed to make this more apparent.
2. Rating Factor 3, Readiness, had a total of 22 points. This has been lowered to 18 points in order to raise the number of points in Rating Factor 5, Financial and Program Management. One (1) point was also removed from this factor in order to bring the total NOFA points, not including the Bonus Points, down from 102 to 100.
 - (1) Rating Factor 3.A.1., Site Control and Zoning Approval, has been lowered from 10 points to 8 points.
 - (2) Rating Factor 3.A.2., Key Personnel Timeliness, has been lowered from 12 points to 10 points. Also, the factor's language has been clarified. Last year the reviewers found the language unclear.
1. Rating Factor 4.B.2., Appropriateness in Context with the Main Street Area, has been decreased from

six (6) points to five (5) points in order to bring the total NOFA points, not including the Bonus Points, down from 102 to 100.

2. Rating Factor 4.B.4.a, Project Leverage, has had the Leverage percent that is required to obtain points lowered from 50% of the grant amount to 25%. Based upon previous applications, Leverage financing is difficult to obtain on Main Street's small projects.
3. Rating Factor 5, Financial and Program Management, has been raised from a total of 12 points to 15 points. This factor gives an indication as to whether the Applicant fully understands the financing required to complete the grant activities and has a realistic understanding of the time that it will take to obtain financing and develop the Main Street housing units.

(1) Rating Factor 5.A.1., Consistency of Financials within the Application, has been raised from three (3) points to five (5) points.

(2) Rating Factor 5.A.2., Preparation and Timeliness, has been raised from four (4) points to five (5) points.

Other Change of Merit

1. In previous years, the majority of Applicants have failed to meet all of the thresholds. In Section IV.B., Content and Form of Application Submission, a tabular list of application sections was added in order to assist Main Street's small communities in producing an application that contains the necessary information to pass all thresholds.

3. Definitions.

a. Eligibility Requirements – Eligibility requirements are those requirements that must be met for an application to be eligible for funding. Deficiencies in meeting an eligibility requirement may be categorized as either curable or non-curable.

b. Threshold Requirement – Threshold requirements are a category of eligibility requirements. A threshold requirement is a requirement that must be met in order for an application to be reviewed. Threshold requirements are not curable.

Threshold requirements are listed in Section III.C.1 of this Program NOFA.

Applicants must ensure their application package addresses all threshold requirements. Please check your application carefully!

c. Deficiency – Deficiencies are not the same as errors. Errors are never curable except as permitted under Section IV.C.2. Deficiencies are items of missing or omitted information within a submitted application. Deficiencies typically involve missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box, etc.). Depending on specific criteria, deficiencies may be either curable or non-curable.

d. Curable Deficiency – A curable deficiency is a specific type of deficiency that applicants may correct with timely action. To be curable the deficiency must:

- Not be a threshold requirement;
- Not influence how an applicant is ranked or scored versus other applicants; and
- Be remedied within the time frame specified in the notice of deficiency.

e. Non-Curable Deficiency – An applicant cannot correct a non-curable deficiency after the submission deadline. Non-curable deficiencies are deficiencies that if corrected would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination.

4. Program Specific Definitions. This section defines HUD and Main Street terms-of-art as they apply to this NOFA. These definitions are necessary for the applicant to properly understand the NOFA's requirements and are referred to throughout the NOFA.

a. Affordable Housing. Main Street Affordable Housing means rental or homeownership dwelling units funded under this NOFA that must be rented or sold to low-income families, with a subset of units made available to very low-income families. Low-income families are defined as families whose adjusted gross income is at or below 80% of the Area Family Income, as published by HUD. Family income includes any income from all members of the resident family. Very low-income families are defined as families whose adjusted gross income is at or below 50% of the Area Family Income. See Section 2.l., below, for a detailed definition of HUD's **Low-income Limits**. The rental, or sale, of each unit must comply with the Main Street **Use Restrictions** as defined in Section 2.s., below, of this NOFA.

b. Applicant Team. Applicant Team means the group of entities that will develop the Main Street affordable housing project ("Project"). The team includes the unit of local government that submits the application and where applicable, the Developer, property manager, architects, construction contractors, attorneys, investment partners that are part of an owner entity; and other parties that may be involved in the development and management of the Project. To be considered as part of an Applicant Team, the entity must be included in the application to this NOFA.

c. Community and Supportive Services (CSS). HUD encourages the provision of CSS to residents of HUD assisted projects. The purpose of these services is to help low-income families improve the quality of their lives and move toward self-sufficiency. CSS may include, but are not limited to:

(1) Educational life skills, job readiness and retention, employment training, and other activities as described on HUD's HOPE VI website at http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/hope6/css;

(2) Per Section III.C.3.i. of this NOFA, homeownership counseling is required if the Main Street units are Homeownership. These services must be scheduled to begin promptly after grant award so that to the maximum extent possible, qualified residents will be ready to purchase new homeownership units when they are completed; and,

(3) Coordination with fair housing groups to educate the Project's targeted population on its fair housing rights.

d. Developer.

(1) Completion of a Main Street grant may include development of documents to obtain financing, performance of an Environmental Review, creation of architectural plans for the Project, the hiring of a construction contractor, monitoring of the construction contractor, bookkeeping for grant income and expenses, submission of all expense receipts to HUD in order to draw down grant funds, furnishing Community and Supportive Services, and dozens of other activities. Normally, a Small Community Main Street applicant will not have the in-house capacity to complete all of these tasks. For this reason, it is likely that the applicant/grantee has procured, or will procure after grant award, a Developer or other development manager to complete them.

(2) Procurement of such entities for Federal grants must be performed in accordance with the Code of Federal Regulations (CFR) at 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." Procurement requirements can be found at 2 CFR 200.318 through 200.326. The CFR can be found online at <http://www.ecfr.gov>. Once procured, subcontracting procurement by a Developer or other development manager is not subject to the procurement requirements in part 200. Requirements may be less complex and more expeditious than direct procurement by the local government grantee. This is another reason why a Main Street grantee may wish to procure a Developer or other development manager.

(3) When Tax Credits or other complex financing is required for the Project, the presence of a Developer

will probably be required. The Developer is the legal entity that has been procured, usually through a Request for Proposals (RFP) or a Request for Quotes (RFQ). After procurement, the Developer and local government applicant or grantee will fully execute a Developer Agreement that describes the rights and responsibilities of both parties. The Developer's role consists of seeking financing for reconfiguration, rehabilitation and/or construction of housing units, the provision of Community Services (if included in the Project) and project management up to and including rental of the Affordable Housing units. Funds awarded through this NOFA must not be used to pay the developer fee. Funds other than those awarded through this NOFA may be used to pay the developer's fee. If other federal funds are used, the federal statute or regulations governing such funds must permit their use for this purpose.

(4) For development with less complicated financing, e.g., no Tax Credit syndication, no bonds, the applicant may choose to procure "other development manager" services, e.g., Project Manager, Private Property Owner (if the owner is going to retain ownership of the Project), managing Architect, Construction Manager, design/build construction contractor or housing intermediary, e.g., Community Development Corporation, in place of a Developer. The agreement that the applicant made, or grantee will make, with any of these other development managers will determine their roles and whether the grantee will directly procure other entities or whether the development manager will procure subcontractors. Funds awarded through this NOFA may be used to reimburse fees for these services that are incurred following grant award. In this NOFA, such services are referred to as "other development manager" services.

e. Development Proposal. Prior to beginning construction of Main Street Affordable Housing, either through new construction or through acquisition, with or without rehabilitation, the grantee must submit a development proposal to HUD, which will allow HUD to assess the viability and financial feasibility of the proposed development. The development proposal includes the following information. Note that additional detail regarding the development proposal contents is included in the Grant Agreement, which will be distributed to all grantees upon award.

- (1) Project description.
- (2) Site information.
- (3) Participant description.
- (4) Development project schedule.
- (5) Accessibility.
- (6) Project costs and Financing.
- (7) Operating pro-forma/Operating Fund methodology.
- (8) Environmental requirements. HUD must approve a 24 CFR Part 50 environmental review before approving the development proposal.

f. "Firmly Committed" Commitment Letters. In order to be counted in Section V.A., the rating section of this NOFA, both Match and Leverage resources must be firmly committed in writing in commitment letters. The Match resources must be firmly committed to the Affordable Housing Project that is the subject of your application and the Leverage resources must be firmly committed to either the Affordable Housing Project or the Main Street Area rejuvenation effort in general. Further discussion of Match and Leverage can be found in the definitions of Match and Leverage, below.

- (1) Commitment Letters document resources designated for Match or Leverage purposes in your Main Street application. To be counted toward Match or Leverage, sources of funds must be FIRMLY committed to the Project. To be counted as a firm commitment letter, the letter must meet the following requirements:
 - (a) Be on the letterhead of the entity providing the funding commitment.
 - (b) Contain the name, telephone number and email address of a contact for the entity that is providing the resource and that is familiar with the contribution toward the Main Street application.

- (c) Identify if the commitment is for Match or Leverage.
- (d) Identify if the commitment is a cash or in-kind contribution.
- (e) Contain the specific amount of the commitment. If an in-kind contribution, the market value in dollars of the commitment. If the match is a cash contribution, provide the dollar amount of the commitment.
- (f) The letter must be signed by a person authorized to make the commitment.

g. Homeownership Unit. Homeownership unit means a housing unit that a local government makes available under this NOFA for purchase by a low-income family to use as its principal residence.

h. Initial Occupancy Period. Initial Occupancy Period is the period of time that a rental unit is occupied by the initial low-income resident, or the period of time that a homeownership unit is owned by the initial third-party low-income purchaser. There is no set requirement for the length of this occupancy period. During this period, rental must be in accordance with the Main Street Use Restrictions, defined below. In general, the initial occupant has the same rent responsibilities and rights as a public housing resident in a HOPE VI development.

i. Jurisdiction. Jurisdiction means the physical area under the supervision of the local government applicant.

j. Leverage. Leverage means non-HOPE VI and non-Choice Neighborhoods funded donations of cash or in-kind services that are in excess of, and not included in, the five percent (5%) Match requirement of this NOFA. Leverage must be FIRMLY committed to the Project or the Main Street area redevelopment effort in general. In order to ensure that all of the applicant's sources are identified by the application reviewers, in addition to the Firm Commitment Letter requirements, a list of Leverage resources should be included in form HUD-52861, HOPE VI Main Street Application Data Sheet, which should be an attachment to your application.

Types of resources that may be counted are as follows:

- Private mortgage-secured loans,
- other debt,
- housing trust funds,
- Homeownership sales proceeds,
- proceeds from other projects,
- proceeds from existing tax increment financing (TIF) districts,
- Tax Credit equity,
- non-HOPE VI Federal, State or local public funds (To include funds received from a Federal or State program as part of the Match or Leverage amount, you must confirm that this use of funds is allowed by the Federal program.)
- private funds,
- in-kind services such as Homeownership Counseling (required if Homeownership units are developed),
- the value of the real property that will be the subject of the Main Street Affordable Housing Project, provided that it is publicly owned or owned by a non-profit, and
- other materials.

Types of resources that may NOT be counted are as follows:

- The value of privately owned real property that will be the subject of the Main Street Affordable Housing Project, and
- Grantee staff time.

k. Local Government or Unit of Local Government. Local government means any city, town, township, village, county, parish, or other general purpose political subdivision of a state, Guam, the Northern Mariana Islands, the Virgin Islands, American Samoa, the District of Columbia and other United States Territories. It does not include Native American governments or Public Housing Authorities.

I. Low-income Limits. Low-income limits prescribed by HUD are on the Internet at http://www.huduser.gov/portal/datasets/il/il15/Section8_IncomeLimits_Rev.pdf. Low-income family means a family (resident) with an income equal to or less than 80 percent of HUD's Median Family Income for the local area, adjusted for family size, in accordance with section3(b)(2) of the United States Housing Act of 1937, as amended (Section 8 eligibility). HUD may establish a level higher or lower than 80 percent because of the prevailing construction costs or unusually high or low family incomes in the area. "Local Area" is defined as the primary metropolitan statistical area/metropolitan statistical area (PMSA/MSA) or non-metropolitan county/parish as prescribed by HUD, in which the low-income family resides.

m. Main Street Affordable Housing Project (Project). The collection of affordable housing units that are developed in the Main Street Area using funds obtained through this NOFA and which meet the Program Requirements in Section III D.2.c. of the NOFA. The Main Street Affordable Housing Project cannot rehabilitate, replace, demolish, or otherwise dispose of public housing units.

n. Main Street Area. Main Street Area is an area determined by the applicant, and designated on a map as part of your application, that fulfills the Program Specific Requirements Section III D.2.c of this NOFA, and:

- (1) Is within the jurisdiction of the Local Government applicant.
- (2) Has specific boundaries that are determined by the applicant; and
- (3) Is or was:
 - (a) Traditionally the central business district and center for socio-economic interaction;
 - (b) Characterized by a cohesive core of historic and/or older commercial and mixed use buildings often interspersed with civic, religious, and residential buildings which represent the community's architectural heritage; and
 - (c) Is the location of a downtown or "Main Street" existing rejuvenation effort that:
 - (i) Has as its purpose the revitalization or redevelopment of the historic or traditional commercial area;
 - (ii) Involves investment or other participation by the applicant and private parties in the community in which the Project is located; and
 - (iii) Involves the development of affordable housing that is located in the Main Street area.

o. Operating Pro Forma ("pro forma"). The Five-Year Operating Pro Forma is a report that shows the income and expenses for the first five operating years of a rental project. The purpose of the pro forma is to show that the project will be financially viable over the long-term. The "pro forma" includes year-by-year estimates of Project income and expenses, accounting for Use Restriction changes and economic adjustments. The pro forma must show the affordable rents for this five-year period, assuming a five-year period of initial occupancy. Form HUD- 52861, Main Street Data Sheet 2016 TDCs, includes a tab to enter income and expense assumptions and a separate tab that includes the pro forma. You will have to enter information into both tabs.

p. Owner Entity. The legal entity that holds the title to the real property that contains any affordable housing units developed through this NOFA.

q. Site Control. Site Control means that the local government applicant, its Developer or other development manager procured by the applicant, has the legal authority to commit the owner of the property to the rehabilitation to be performed with grant funds from this NOFA. Examples of site control are:

- (1) The local government applicant owns the property outright;
- (2) The private owner entity of the property will be the developer and has a signed agreement with the applicant providing site control;
- (3) The applicant or private owner entity has signed an agreement with a third-party developer and the agreement gives the developer site control;

(4) The applicant, developer or other development manager that has been procured by the applicant has an option to purchase the property from a private owner entity that covers a time period sufficient to obtain grant funds for purchase and environmental review approval (at least 180 days after the estimated award date), and is contingent only upon receipt of a grant from this NOFA and satisfactory compliance with this NOFA's environmental review requirements;

(5) An applicant's for-profit subsidiary, the private owner entity or the Developer with site control has formed a limited partnership for Tax Credit purposes.

r. Total Development Cost (TDC). Annually, HUD publishes a list of reasonable development costs for each size and type of public housing unit to be developed. Costs are included for Cities or Counties/Parishes where HUD performs public housing development.

(1) TDCs are used for two purposes in this NOFA;

(a) As a cost control requirement (see Section VI. of this NOFA), and

(b) As the basis for the initial determination of the grant amount.

(i) The maximum amount of funding requested must be based upon HUD's published Total Development Cost (TDC) for the unit mix to be developed, up to the maximum allowable amount stated in this NOFA. HUD's official table of FY2016 TDC amounts is located at http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/capfund.

(2) The following documents and workbooks are available at <http://www.hud.gov/mainstreet/>:

(a) HUD's Notice PIH-2011-38 (HA), Public Housing Development Costs Limits,

(b) The table of TDC amounts for FY2016, and

(c) The TDC calculator located in form HUD-52861, "HOPE VI Main Street Application Data Sheet".

(i) HUD has developed TDCs for metropolitan areas and large cities, not for small, non-metropolitan cities and towns. If the applicant's location is not listed, the applicant is advised to contact their local HUD Public Housing Field Office to determine their TDC State and City. A Directory of HUD Offices can be found at <http://portal.hud.gov/hudportal/HUD?src=/states>.

s. Use Restrictions. Housing units developed with funds from this NOFA have rental amount, eviction and other restrictions for the initial residents of those units. See "Use Restrictions" under "Program Specific Requirements" at Section III.D.3. of this NOFA. After an initial resident moves out of the Project, or sells a Homeownership unit, Use Restrictions are removed from that unit and it becomes market rate.

t. Very Low-Income Family. Very low-income family means a family or resident with an income not to exceed 50 percent of HUD's Median Family Income for the local area adjusted for family size, in accordance with Section 3(b)(2) of the United States Housing Act of 1937, as amended. HUD may establish a level higher or lower than fifty percent (50%) because of prevailing construction costs or unusually high or low family incomes in the area. HUD's prescribed Income Limits for very low-income families are published at http://www.huduser.gov/portal/datasets/il/il15/Section8_IncomeLimits_Rev.pdf

B. Authority

1. PROGRAM AUTHORITY:

a. The authority for the HOPE VI Main Street Program is Section 24 of the United States Housing Act of 1937 (42 U.S.C. 1437v), as amended by Section 535 of the Quality Housing and Work Responsibility Act of 1998 (Pub.L.105-276, 112 Stat. 2461, approved October 21, 1998); and the HOPE VI Program Reauthorization and Small Community Main Street Rejuvenation and Housing Act of 2003 (Pub. L. 108-186, 117 Stat 2685, approved December 16, 2003).

2. FUNDING AUTHORITY:

a. Funding for the FY2016 award from this NOFA is provided by the Consolidated Appropriations Act 2016
b. HUD reserves the right to fund applicants from this NOFA during FY2017 to the extent that Congress provides future funding subject to Section 24 of the United States Housing Act of 1937 (42 U.S.C. 1437v), as amended, and requires the set-aside of a portion of these funds for the Main Street program. The award of FY2017 Main Street funds for FY2016 applicants is contingent upon future congressional action. HUD's intent to award FY2017 funds to FY2016 applicants will be announced separately if such funds become available.

II. Award Information.

A. Available Funds.

HUD is making available approximately **\$500,000** through this NOFA for HOPE VI Main Street Grant Program.

Additional funds may become available for award under this NOFA as a result of HUD's efforts to recapture unused funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds is subject to statutory constraints. All awards are subject to the applicable funding restrictions described in the General Section and to those contained in this NOFA.

1. HUD reserves the right to fund applicants from this NOFA during FY2017 to the extent that Congress provides future funding subject to Section 24 of the United States Housing Act of 1937 (42 U.S.C. 1437v), as amended, and requires the set-aside of a portion of these funds for the Main Street program. The award of FY2017 Main Street funds for FY2016 applicants is contingent upon future congressional action. HUD's intent to award FY2017 funds to FY2016 applicants will be announced separately if such funds become available.

B. Number of Awards.

HUD expects to make approximately 1 awards from the funds available under this NOFA.

1. HUD expects to make approximately one (1) FY2016 award from the funds available under this NOFA.
2. HUD intends to award one FY2017 grant to applicants from this FY2016 NOFA, provided funds are appropriated by Congress for programs subject to Section 24 of the United States Housing Act of 1937.

C. Minimum/Maximum Award Information.

1. Up to the maximum \$500,000, the amount of the award will be based upon the Total Development Cost (TDC) of the number of affordable housing units that will be developed through the grant. See Total Development Cost under Definitions, Section I. of this NOFA.
2. Although awarded grant funds from this NOFA are obligated upon the award date, authority to expend funds must be obtained from HUD through Budget and Budget Revision requests that are based upon specific milestones and circumstances.

Estimated Total Funding: \$500,000

Minimum Award Amount:	\$0 Per Project Period
Maximum Award Amount:	\$500,000 Per Project Period

D. Period of Performance.

Estimated Project Start Date:	08/01/2016
Estimated Project End Date:	07/31/2020
Length of Project Periods:	Other
Length of Project Periods	1. The start date for the grant, i.e., the above project period, is the date of the Award Notice Letter executed by HUD.
Explanation of Other:	<p>2. Not to be confused with the above, in this NOFA the development of the affordable housing units is also referred to as a "project."</p> <p>Project development starts upon HUD approval of the Development Proposal, as described in the Grant Agreement.</p> <p>3. Activities that limit the choice of the project site, e.g., site acquisition, are not allowed until after written notice from HUD that an Environmental Review has been completed.</p>

E. Type of Funding Instrument.

Funding Instrument Type:	Grant
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F. Supplementation.

1. Funds awarded under this NOFA cannot be used to supplement other HOPE VI or Choice Neighborhoods grants.
2. If the applicant was funded in the past for the same project proposed in the application, HUD will not fund a second grant for that project. HUD will review its past files to determine if HUD funded the project proposed in this application through another Main Street grant.

III. Eligibility Information.

A. Eligible Applicants.

County governments
City or township governments
Special district governments

1. Eligible applicants under this NOFA are limited to Units of General Local Government, defined as any city, town, township, village, county, parish, or other general purpose political subdivision of a state, Guam, the Northern Mariana Islands, the Virgin Islands, American Samoa, the District of Columbia, and other United States Territories. It does not include Native American governments or Public Housing Authorities.
2. The above noted Local Government must:
 - a. Have a population of 50,000 or less;
 - b. Not be served by a local or county/parish Public Housing Agency (PHA) that administers more than 100 physical public housing units within the local government's jurisdiction. Such units exclude Section 8 Housing Choice Voucher subsidized units.
3. Joint applications are not permitted. However, an applicant can enter into subaward agreements (or contracts) with nonprofit organizations and State or local governments. The applicant can also enter into contracts with for-profit entities. The Local Government grantee is subject to 2 CFR part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards when procuring

supplies or services.

4. One Main Street Project Funded. The applicant can only apply for funding to support one Main Street Affordable Housing Project in one cohesive Main Street Area. The Project may include several buildings.
5. Thresholds Applicable to All Applicants. The applicant must meet all thresholds in order to be considered for rating, ranking and funding. Thresholds are located in Section III.D. of this NOFA.

HUD does not award grants to individuals. HUD will also not evaluate applications from ineligible applicants.

As required in the Code of Federal Regulations (CFR) at 2 CFR 25.200 and 24 CFR Part 5 Subpart K, all applicants for financial assistance must have an active Data Universal Numbering System (DUNS) number (<http://fedgov.dnb.com/webform>) and have an active registration in the System for Award Management (SAM) (www.sam.gov) before submitting an application. Getting a DUNS number and completing SAM registration can take up to four weeks; therefore, applicants should start this process or check their status early.

See also Section IV.B for necessary form and content information.

B. Cost Sharing or Matching.

This Program requires an applicant to leverage resources through cost sharing or matching as described below.

1. A match of firmly committed cash or in-kind property or services of at least five percent (5%) of the requested grant amount is statutorily required to be considered for an award. Match must be used only to carry out eligible activities under this NOFA.
2. Match resources must be firmly committed to the Project in writing. Commitment Letters are required in your Main Street application to document resources designated for match purposes. To be counted toward match, the resources must be FIRMLY committed to the Project. A firm commitment letter must meet the requirements stated in Section I.A.4.f., of this NOFA.
3. If the real property that will be the subject of the Main Street Affordable Housing Project is privately owned by a for-profit entity, its value will not be counted towards Match. If it is publicly owned or owned by a non-profit, its value may be included as Match.
4. Match must not include funds from other Section 24 grants, i.e., HOPE VI, Main Street or Choice Neighborhoods.
5. See 2 CFR §200.306 for more information on Match.

C. Other.

All applicants must comply with the following requirements, which may determine whether your application is reviewed or make your application ineligible for funding. Eligibility criteria for this competition include:

1. Threshold Requirements.

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated. See also Section I.A.3 Definitions.

a. Timely Submission of Applications – Applications submitted after the deadline stated within this NOFA and that do not meet the requirements of the grace period policy will be marked late. Late applications are deemed ineligible and will not be considered for funding. See also Section IV Application and Submission Information, part D.

b. Civil Rights Matters – Outstanding civil rights matters must be resolved prior to the application deadline.

(1) Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (a) – (e) that have not been resolved to HUD's satisfaction before or on the application deadline date are ineligible for funding.

(a) Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;

(b) Status as a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance pursuant to 42 U.S.C. 3614(a);

(c) Status as a defendant in any other lawsuit filed or joined by the Department of Justice alleging a pattern or practice or systemic violation of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, Title II of the Americans with Disabilities Act, or a claim under the False Claims Act related to fair housing, nondiscrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;

(d) Receipt of a letter of findings identifying systemic noncompliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or Title II of the Americans with Disabilities Act; or

(e) Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

(2) HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the application deadline date are sufficient to resolve the matter. Examples of actions that may be considered sufficient to resolve the matter include, but are not limited to:

(a) Current compliance with a voluntary compliance agreement signed by all the parties;

(b) Current compliance with a HUD-approved conciliation agreement signed by all the parties;

(c) Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;

(d) Current compliance with a consent order or consent decree; or

(e) Current compliance with a final judicial ruling or administrative ruling or decision.

c. Applicant Eligibility. The applicant must be an eligible applicant as stated in Section III.A. of this NOFA, above, in accordance with Section 24 of the Housing Act of 1937, as amended.

d. Main Street Area Defined in a Map. The applicant must have within its jurisdiction a Main Street Area which meets the definition in this NOFA, and the applicant must provide a map, decipherable in gray-scale print, depicting the Main Street area boundaries. The map must denote Project site location(s), mass-transit stops (if there is no mass-transit in the applicant's jurisdiction, the applicant must state so on the map) and the Main Street Area's boundaries. The boundaries must be physical objects and must be visible and identifiable on the map, e.g., the mid-point of streets, rail lines, rivers, man-made or natural boundaries clearly depicted on the map. The information required above may be hand drawn on the map.

2. Statutory and Regulatory Requirements.

a. Compliance with Nondiscrimination and Related Requirements.

Compliance with Fair Housing and Civil Rights Laws.

Applicants and their prospective subrecipients must comply with all applicable fair housing and civil rights requirements in 24 CFR 5.105(a), including, but not limited to, the Fair Housing Act; Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II and Title III of the Americans with Disabilities Act of 1990; and Section 109 of the Housing and Community Development Act of 1974. Applicants, and their prospective subrecipients, who are conducting programs or activities within a state or local jurisdiction that has passed a law prohibiting discrimination in housing based upon sexual orientation or gender identity, or a law prohibiting discrimination in housing based on lawful source of income, must comply with the law(s) of the state or locality in which the program activities are conducted.

Per the Consolidated Appropriations Act 2016 this NOFA is subject to Section 24 of the United States Housing Act of 1937 (42 U.S.C. 1437v), as amended by Section 535 of the Quality Housing and Work Responsibility Act of 1998 (Pub.L. 105-276, 112 Stat. 2461, approved October 21, 1998); and the HOPE VI Program Reauthorization and Small Community Main Street Rejuvenation and Housing Act of 2003 (Pub. L. 108-186, 117 Stat 2685, approved December 16, 2003).

Affirmatively Furthering Fair Housing.

Section 808(e)(5) of the Fair Housing Act requires HUD to affirmatively further the purposes of the Fair Housing Act in its housing and urban development programs. Accordingly, HUD requires recipients of funds that are not specifically exempted to take affirmative steps to further fair housing. An applicant must discuss how it is going to carry out the proposed activities in a manner that affirmatively furthers fair housing in complete compliance with Section 808(e)(5) of the Fair Housing Act.

Economic Opportunities for Low-and Very Low-income Persons (Section 3).

Recipients of assistance must comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 CFR part 135. Section 3 requires recipients to ensure, to the greatest extent feasible, that training, employment, contracting and other economic opportunities will be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns that provide economic opportunities to low-and very low-income persons in the area in which the project is located. Applicants must describe in their applications their plans to train and employ Section 3 residents and contract with Section 3 business concerns in furtherance of the proposed activities. Applicants for funding under this program shall, by signing the application, certify compliance. Recipients of covered funding are required to comply with the requirements of 24 CFR Part 135, particularly subpart B-Economic Opportunities for Section 3 residents and Section 3 Business Concerns, and Subpart E-Reporting and Recordkeeping. HUD encourages recipients to consult the national Section 3 Business Registry. Applicants and grant recipients can search the database to find local Section 3 businesses that put a priority on hiring public housing or low-income residents. To learn more about HUD's Section 3 Business Registry or to search for a Section 3 business, visit:

www.hud.gov/sec3biz. Additional information on the requirements of Section 3 can be found at:

www.hud.gov/offices/fheo/section3/section3.cfm. Program NOFAs to which Section 3 applies will have additional information here.

Improving Access to Services for Persons with Limited English Proficiency (LEP).

Executive Order 13166 seeks to improve access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. Applicants obtaining federal financial assistance from HUD shall take reasonable steps to ensure meaningful access to their programs and activities to LEP individuals. As an aid to recipients, HUD published Final Guidance to Federal Financial Assistance Recipients: Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance) in the Federal Register on January 22, 2007 (72 FR 2732). For assistance and information regarding LEP obligations, go to

www.lep.gov/guidance/HUD_guidance_Jan07.pdf. For more information on LEP, please visit www.hud.gov/offices/fheo/promotingfh/lep.cfm.

b. HUD Agency Wide or Federal Government Wide Requirements.

(1) Outstanding Delinquent Federal Debts – It is HUD policy, consistent with the purposes and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), that applicants with outstanding delinquent federal debt will not be eligible to receive an award of funds, unless:

- (a) A negotiated repayment schedule is established and the repayment schedule is not delinquent, or
- (b) Other arrangements satisfactory to HUD are made prior to the award of funds by HUD. If satisfactory arrangements cannot be completed within 90 days of notification of selection, HUD will not make an award of funds to the applicant, and instead offer the award to the next eligible applicant. HUD may act earlier than the above stated 90 days to ensure, in HUD's determination, that the funds can be obligated in a timely manner. Applicants selected for funding, or awarded funds, must report any changes in status of current agreements covering federal debt. HUD may withhold funding, terminate an award, or seek other remedies from a grantee if a previously agreed-upon payment schedule has not been followed or a new agreement with the federal agency to which the debt is owed has not been signed.

(2) Pre-Award Accounting System Survey – HUD will not award or disburse funds to applicants that do not have a financial management system that meets federal standards. HUD may arrange for a pre-award survey of any such financial management system for applicants selected for award who have not previously received federal financial assistance, where HUD Program officials have reason to question whether a financial management system meets federal financial management standards, or for applicants considered high risk based upon past performance or financial management findings.

(3) Debarments and/or Suspensions – In accordance with 2 CFR part 2424, no award of federal funds may be made to debarred or suspended applicants, or those proposed to be debarred or suspended from doing business with the Federal Government.

(4) False Statements – A false statement in an application is grounds for denial or termination of an award and possible punishment, as provided in 18 U.S.C. 1001.

(5) Do Not Pay Website Review – As part of the Improper Payments Elimination and Recovery Improvement Act (IPERIA) of 2012, in making funding determinations HUD will look up applicant information on the Federal website <http://www.donotpay.treas.gov/>. The Do Not Pay Portal is intended to prevent improper payments and can be used by HUD to ensure that applicants that receive funding do not owe funds to the federal government; are not on the Excluded Parties List System (EPLS); the List of Excluded Individuals/Entities List (LEIE); the Social Security Administration (SSA) Death Master File (DMF); or other federal databases that would provide adverse information regarding the applicant. HUD reserves the right to:

- (a) Deny funding, or in the case of a renewal or continuing award, consider suspension or termination of an award immediately for cause,
- (b) Require the removal of any key individual from association with management or implementation of the award, and
- (c) Make appropriate provisions or revisions with respect to the method of payment or financial reporting requirements.

(6) Conducting Business in Accordance with Ethical Standards/Code of Conduct – Applicants are required to develop and maintain a written code of conduct in accordance with 2 CFR 200.112 and 200.318. Codes of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities by officers, employees, or agents for their personal benefit in excess of minimal value; and outline administrative and disciplinary actions

available to remedy violations of such standards.

Pursuant to applicable Federal and HUD regulations, applicants must disclose in writing any potential conflict of interest and all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

Before entering into an agreement with HUD, applicants selected to receive funding under a Program NOFA must submit an up-to-date copy of their code of conduct. Applicants with codes already on file with HUD do not need to resubmit a new code unless the information on file has changed. New or updated submissions must be dated and signed by the Executive Director, or Chair, or equivalent official, of the governing body of the organization. Applicants must also describe the methods to be used to ensure that all officers, employees, and agents are aware of and have agreed to adhere to the code of conduct.

(7) Conflict of Interest of Consultants or Technical Experts Assisting HUD – Consultants and technical experts who assist HUD in rating and ranking applications for funding under published FY 2016 Program NOFAs are subject to 18 U.S.C. 208, the federal criminal conflict-of-interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, consultants and technical experts who have assisted or plan to assist applicants with preparing applications for FY 2016 Program NOFAs may not serve on a selection panel and may not serve as a technical advisor to HUD. Anyone involved in rating and ranking FY 2016 Program NOFA applications, including departmental staff, experts and consultants must avoid conflicts of interest or the appearance of such conflicts. These individuals must also disclose to HUD's Office of General Counsel Ethics Law Division the following information, if applicable:

- (a) How the selection or non-selection of any applicant under a FY 2016 Program NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208, or
- (b) How the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502.

The consultant or technical expert assisting HUD must disclose this information before participating in any matter regarding an FY 2016 program NOFA. Applicants with questions regarding these provisions or concerning a conflict of interest, please call the Office of General Counsel, Ethics Law Division, at (202) 708-3815 (this is not a toll-free number). The phone number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Service's teletype service at 1-800-877-8339.

(8) Prohibition Against Lobbying Activities – Applicants are subject to the provisions of Section 319 of Public Law 101-121, 31 U.S.C. 1352, (the Byrd Amendment) and 24 CFR part 87, which prohibit recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, loan, or cooperative agreement. In addition, applicants must disclose, using Standard Form LLL (SFLLL), "Disclosure of Lobbying Activities," any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, or congressional staff regarding specific grants or contracts. Federally-recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally-recognized Indian tribes as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established only under state law shall comply with this requirement. Applicants must submit the SFLLL if they have used or intend to use non-federal funds for lobbying activities.

(9) Consistency with the Consolidated Plan and Analysis of Impediments to Fair Housing Choice – Certain competitive Programs require applications to contain a certification of consistency with a HUD-approved Consolidated Plan. This certification means that the proposed activities are consistent with the jurisdiction's strategic plan, and the location of the proposed activities is consistent with the geographic areas specified in the Consolidated Plan. The Consolidated Plan also includes the jurisdiction's certification to affirmatively further fair housing which means, among other requirements, that the jurisdiction has conducted an Analysis

of Impediments to Fair Housing Choice (AI). If a program NOFA requires a certification of consistency with the Consolidated Plan and the applicant fails to provide the certification, and such failure is not cured as a technical deficiency, HUD will not fund the application. Please refer to the Program NOFAs for detailed guidance on compliance with this requirement.

3. Program Specific Requirements.

a. Fair Housing and Equal Opportunity Requirements.

(1) HUD's general non-discrimination and equal opportunity requirements at 24 CFR 5.105(a) apply to the HOPE VI Main Street Program. PIH Notice 201026 available at <http://www.hud.gov/offices/pih/publications/notices/> provides an overview of pertinent laws and implementing regulations concerning non-discrimination and accessibility for persons with disabilities that apply to HOPE VI Main Street grants based upon other non-public housing statutes and regulation. The civil rights laws and implementing regulations apply to the grantee and any sub-grantee or contractor in a HOPE VI Main Street project.

(2) Applicants are reminded that, pursuant to Section 504, Main Street covered multifamily housing projects that include substantial alterations to housing or include new construction of housing must provide a minimum of five percent (5%) of the units or one unit, whichever is greater, accessible to persons with mobility impairments. An additional 2 percent (2%), but not less than one (1) unit, must be made accessible for persons with a hearing or vision impairment (see 24 CFR parts 8.20 through 8.32).

(3) By definition at 24 CFR 100.201, "Covered multifamily dwellings" means buildings consisting of four or more dwelling units if such buildings have one or more elevators; and ground floor dwelling units in other buildings consisting of four or more dwelling units.

(4) In addition under the Fair Housing Act, all new construction of covered multifamily dwellings and rehabilitation that results in a covered multifamily dwelling must contain certain features of accessible and adaptable design that comply with the design and construction requirements at 42 U.S.C. § 3604(f)(3)(C). This requirement is in addition to other non-HUD accessibility requirements which the applicant's State or local government may require. HUD's Fair Housing and Equal Opportunity (FHEO) website is located at http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp

b. The Main Street Affordable Housing Project. The Main Street Affordable Housing Project must:

- (1) Involve the construction or major rehabilitation of space into affordable housing units;
- (2) Be located within the boundaries of your designated Main Street Area;
- (3) Not replace demolished or otherwise disposed of, or rehabilitate existing, public housing units; and
- (4) Not exceed allowable Total Development Costs (TDC). See Section VI., “Funding Restrictions,” for information on TDCs.

c. Approval of Acquisition and Construction: Grantees must obtain HUD approval of their Development Proposal before funds will be released for site acquisition, if any, and construction. In addition, HUD must approve a 24 CFR part 50 environmental review before approving the development proposal. See Section III.D.3.j. through l., below, of this NOFA for environmental requirements.

d. Cost Control and Safe Harbor Standards. Grantees must comply with HOPE VI Main Street Cost Control and Safe Harbors Standards which are available at <http://www.hud.gov/mainstreet> under the Cost Guidelines section of HUD's Main Street website. The standards state limits to Developer and construction fees. See Section VI.E., “Funding Restrictions” for Safe Harbors information.

e. Limitation of Eligible Expenditures. Expenditures on services, equipment, and physical improvements must directly relate to Project activities allowed under this NOFA.

f. Initial Occupancy Period Requirements (Use Restrictions).

- (1) Project units must be maintained as affordable housing only for the period of initial rental occupancy of

the unit or the initial resident's ownership. The initial resident of each affordable rental unit and the initial resident purchaser of each affordable homeownership unit must be subject to the same rules regarding occupant contribution towards rental or purchase, and to the basic resident rights for rental or purchase, as residents of Section 24 public housing units or Homeownership units. Site-based waiting lists, resident job or training requirements, flat rents, and other occupancy requirements are allowed under the U.S. Housing Act of 1937 (1937 Act) and may be applied to the units, at the applicant's discretion.

(2) Unit rents, or the amortized mortgage monthly payment for Homeownership units must be set at or below 30% of the families' adjusted gross income. Since Main Street units are not subsidized public housing units, and there are no public housing waiting lists. Grantees may include family income as one of the criteria used to choose resident families. That is, for low-income units, the grantee may choose residents whose adjusted gross family income can support a rent or mortgage payment that is near 80% of the Area Family Income, as published by HUD under Income Limits at http://www.huduser.gov/portal/datasets/il/il15/Section8_IncomeLimits_Rev.pdf. For very low-income units, the grantee may choose residents whose adjusted gross family income can support a rent or mortgage payment that is near 50% of the Area Family Income, as published by HUD.

(3) The regulations at 24 CFR part 966, "Public Housing Lease and Grievance Procedures" and Public and Indian Housing implementing Handbooks and Notices are not applicable to the HOPE VI Main Street Program. However, applicants may want to use those regulations and documents as a guide.

(4) Minimum down payment for homeownership purchase of one percent (1%) of the sale price or other minimum as approved by HUD is required.

(5) Initial residents cannot be evicted without cause.

(6) Initial residents must have the right to appeal detrimental actions by the landlord. The regulations at 24 CFR part 966, subpart B may be used as a guide.

(7) For the Main Street units, the Project owner is not required to develop and maintain PHA rental documentation as described in The Public and Indian Housing Occupancy Reporting Handbook (7465.3). However, admissions, occupancy, and income records for the Main Street units must be maintained in order for HUD to verify that the above Use Restrictions have been applied during the initial occupancy period. HUD reserves the right to access grantee documents related to the Use Restriction.

g. Requirements from Other Programs. To the extent that HOPE VI Main Street funds are combined with other federal program funds for a Main Street Affordable Housing project, the requirements from those programs may apply to the Affordable Housing project proposed in the application to this NOFA. If Community Development Block Grant (CDBG) or other HUD funds for which Davis-Bacon applies are included in the financing for these Affordable Housing units, Davis-Bacon labor rates may apply to labor funded by this NOFA. See Section III.D.3.o of this NOFA.

h. Main Street Homeownership Counseling and Community and Supportive Services. The initial sale of an affordable homeownership unit to a third-party, low-income purchaser must take place in accordance with Section 24 of the 1937 Act. Providing homeownership counseling to residents is mandatory if the application proposes homeownership units. The cost of such counseling is considered a Community and Supportive Service and is excluded from the TDC limit for unit development. If listed in form HUD-52861, HOPE VI Main Street Application Data Sheet, on the TDC Limit Calculations page, such funds will be added to the grant amount, up to the maximum grant amount of \$500,000. Other Community and Supportive Services, as described in the Definition of Terms, Section I. of this NOFA, are voluntary and if elected to be provided by the grantee, the expenses are limited to 25 percent (25%) of the grant amount.

i. Leveraging Other Resources. The Main Street Area rejuvenation effort must have community support from government and the private sector. This support is demonstrated through the provision of leveraged funds ("Leverage"). Leverage can support any activity, provided that the intended use of the funds is permitted by the source of the funds being used. For example, if the Leverage funds are to be used for street

enhancements, the source of the Leverage dollars must allow for street enhancements. While Match is a Threshold requirement, the amount of Leverage funds will be rated in Rating Factor 4, Section V.A. of this NOFA. Larger amounts of firmly committed Leverage will receive more points.

j. Section 106 Historic Preservation Requirements. Section 106 of the National Historic Preservation Act of 1966 (54 U.S.C. 300101) and its implementing regulation at 36 CFR part 800 are applicable to this program in accordance with the environmental review requirements under 24 CFR part 50. Following the notification of award, grantees may not commit or expend Main Street grant funds or other Match and Leverage funds for the affected program activities until HUD has completed and approved its 24 CFR part 50 Environmental Review. HUD's Environmental Review includes the historic preservation review and approval process. When the grantee conducts work under this NOFA, if a project includes potential effects to a historic property listed on or eligible for the National Register of Historic Places (NRHP), the grantee must comply with the Secretary of the Interior's Standards for Rehabilitation at <http://www.nps.gov/tps/standards/rehabilitation.htm> and obtain approval of the State Historic Preservation Officer (SHPO). If such historic preservation requirements are not applicable, the grantee must preserve significant traditional, architectural, and design features in the Project structures and include in the Developer's, or other development manager's, Statement of Work the sites that are covered and how the requirement will be met. See <http://www.achp.gov/>.

k. Environmental Requirements.

(1) Environmental requirements for this NOFA are found in 24 CFR part 50, which requires HUD environmental approval of all development sites. Note that 24 CFR part 58, which allows state and local governments to assume federal environmental responsibilities, is not applicable to the Main Street program. HUD's environmental website is located at <http://www.hud.gov/offices/cpd/environment/index.cfm>.

(2) HUD's notification of award to a selected applicant constitutes a preliminary approval by HUD of the submitted application, subject to HUD's completion of an environmental review of proposed sites in accordance with 24 CFR part 50. The proposal may be modified or the proposed sites rejected as a result of HUD's environmental review. Selection for participation (preliminary approval of the submitted application) does not constitute approval of the proposed site(s).

(3) The grantee will comply with the Environmental Certifications in Section III.D.3.l of this NOFA.

(4) Each proposal will be subject to a HUD environmental review, in accordance with 24 CFR part 50, and the proposal may be modified or the proposed sites rejected as a result of that review.

(5) Phase I and Phase II Environmental Site Assessments. If the applicant is selected for funding, the applicant must have a Phase I environmental site assessment completed in accordance with the ASTM Standard E 1527-13, as amended (see <http://www.astm.org>). The results of the Phase I assessment must be included in the documents that must be provided to HUD for the environmental review. If the Phase I assessment recognizes environmental concerns, or if the results are inconclusive, a Phase II environmental site assessment will be required.

(6) Mitigation and remedial measures. The applicant must carry out any mitigating/remedial measures required by HUD. If a remediation plan, where required, is not approved by HUD, and a fully funded contract with a qualified contractor licensed to perform the required type of remediation is not executed, HUD reserves the right to determine that the grant is in default.

l. Environmental Certifications. By signing the application, the applicant certifies that:

(1) There are no environmental or public policy factors such as sewer moratoriums that would preclude development in your Main Street Area.

(2) It will provide HUD with all available, relevant information necessary for HUD to perform the environmental review required by 24 CFR part 50 for each property, including, but not limited to, the Phase I Environmental.

- (3) It will not acquire, rehabilitate, convert, demolish, lease, repair, or construct property nor commit or expend Main Street grant funds or other funds for these program activities with respect to any eligible property until the applicant receives written HUD approval of the property.
- (4) It will carry-out mitigating measures required by HUD or, if mitigating measures are not feasible, the applicant agrees to select alternate eligible project sites.
- m. Coastal Barrier Resources Act. In accordance with the Coastal Barrier Resources Act (16 U.S.C. 3501), the application may not target properties in the Coastal Barrier Resources System.
- n. Building Standards.
- (1) Building Codes.
- (a) All activities that include construction, rehabilitation, lead hazard control, and related activities must meet or exceed local building codes, or their local equivalent. HUD's and EPA's lead hazard control requirements are at 24 CFR 35 and 40 CFR 745 and must be implemented, regardless of local building codes. See Section III.D.3.r., below.
- (b) New construction of Main Street a project is subject to the accessibility requirements of section 504 of the Rehabilitation Act of 1973 (Section 504) and its implementing regulations at 24 CFR part 8, the design and construction requirements of the Fair Housing Act, Titles II and III of the Americans with Disabilities Act (ADA), and the Architectural Barriers Act, as applicable.
- (c) The major redesign, reconstruction, redevelopment, or partial or total demolition of Main Street projects that meets the standard for "substantial alteration" or "other alterations" under 24 CFR § 8.23 are also subject to that provision.
- (d) Where the major redesign, reconstruction, redevelopment, or partial or total demolition of Main Street projects results in a covered multifamily dwelling, the design and construction requirements of the Fair Housing Act also apply.
- (2) Energy Efficiency Standards.
- (a) Owners of Main Street Projects, whether new construction or rehabilitation, must meet local and State building codes.
- (b) Main Street Projects must comply with Energy Star (Certified New Homes and Multifamily High Rise), as the minimum standard for new construction developments and must utilize Energy Star appliances and Water Sense products in all rehabilitation projects.
- (3) Accessibility Analysis. For additional information on local building codes, applicants can review HUD's Review of Model Building Codes and Accessibility Guidelines at http://portal.hud.gov/hudportal/HUD?src=program_offices/fair_housing_equal_opp/disabilities/fhefhag.
- o. Labor Standards. Davis-Bacon and HUD-determined wage rates do not apply to this NOFA with the following exceptions:
- (1) If other federal program resources are used in conjunction with the applicant's Project activities Davis-Bacon and HUD wage rate requirements apply to the extent required by the other federal programs;
- (2) If any grant funds from an award through this NOFA are expended by a Public Housing Agency (PHA) acting as a Developer, partnering with a Developer, or as a partner in an ownership entity partnership, Davis-Bacon wage rates will apply to laborers and mechanics (other than volunteers under 24 CFR part 70) employed in the development of all such housing units; HUD-determined wage rates shall apply to laborers and mechanics (other than volunteers) employed in the operation of all such housing units.
- p. Real Property Acquisition and Relocation. Main Street projects that include acquisition, rehabilitation, or demolition are subject to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Act or URA) (42 U.S.C. 4601-4655) and the government-wide implementing

regulations issued by the Federal Highway Administration at 49 CFR part 24. Refer to the General Section “Real Property Acquisition and Relocation” for more information on real property, acquisition, and relocation. Additional URA resources and guidance for HUD funded programs and projects are available on HUD’s Real Estate Acquisition and Relocation website at http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library/relocation.

q. Neighborhood Stabilization and Minimization of Tax Liability.

(1) Tax Liability. Benefits received through a grant are considered income and have a tax liability for for-profit recipients. This tax liability flows down to subrecipients. However, the grantee may loan the funds to the Developer or property owner and have the loan forgiven over a period of time.

(2) Neighborhood Stabilization. In the event of sale of the unit by the initial Homeownership resident, equity sharing between the grantee and the home purchaser is required over the initial four years of ownership, at a minimum. Equity sharing must be agreed to, in writing, between the grantee and purchaser at the time of initial sale. Equity sharing may decrease over time. For example, equity sharing may decrease over five years of ownership. If a Homeownership unit is sold by the low-income owner during the first year of ownership, the grantee will receive 100% of funds received above the owner’s down payment and closing costs. During the second year, the grantee would receive 80% of these sale proceeds and the owner would receive 20%. During the third year, the grantee would receive 60% of these sale proceeds and the owner 40%. During the fourth year, the grantee would receive 20% of these sale proceeds and the owner 80%. If the sale occurs during or after the fifth year, the owner receives 100% of any sale proceeds. The time period of equity sharing may exceed this example, at the discretion of the grantee.

(3) More detailed information can be found on HUD’s HOPE VI Main Street Website at <http://www.hud.gov/mainstreet/>.

r. Lead Hazard Control. The applicant must comply with lead hazard control evaluation and reduction requirements as provided for under the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821, et.seq.). See Section IV.G.3. of this NOFA. The National Lead Information Hotline number is 800-424-5323.

s. Information Research and Evaluation Studies. All successful applicants will be required to cooperate with HUD staff or its contractors in HUD funded research and evaluation studies.

4. Criteria for Beneficiaries.

IV. Application and Submission Information.

A. Obtaining an Application Package

An electronic copy of the Application Package and Application Instructions for this NOFA can be downloaded from Grants.gov at <http://www.grants.gov/applicants/apply-for-grants.html>. Except for Continuum of Care applications, or unless an applicant received a waiver for good cause, all applications must be submitted electronically via Grants.gov. The Continuum of Care application is submitted through HUD’s e-snaps system.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. For example, a lack of available Internet access in the geographic area in which the applicant’s business offices are located. Applicants that cannot submit their applications electronically and must seek a waiver of the electronic grant submission requirements must submit a waiver request so that the request is received at least 15 days before the application deadline. If HUD waives the requirement, HUD must receive your paper application before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Lawrence Gnessin

Phone: 202-402-2676

Email: lawrence.gnessin@hud.gov

U.S. Department of Housing and Urban Development
Office of Public Housing Investments
451 7th Street, SW, Room 4130
Washington, DC 20410
Phone 2: 202-402-2676

1. At the Grants.gov webpage <http://www.grants.gov/web/grants/applicants/download-application-package.html>, enter the CFDA number 14.878 to search for the Grant Application Package.
2. Grants.gov's Main Street application consists of two downloads: The application package download; and the Instructions download which includes the General Section, this program NOFA, plus additional forms that need to be attached to your application. Please read the General Section for more detailed instructions on using Grants.gov.
3. Advance Registration Requirements. Prior to submitting an application you must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number; be registered in the Central Contractor Registration at www.Sam.gov; and be registered and authorized to submit the application at www.Grants.gov. Please see the FY2016 General Section for more details of the registration process.
4. Registration at SAM.gov Requirement. Applicants must register or update a current registration in the Central Contractor Registration now part of the System for Award Management (SAM), found at <http://www.sam.gov>. Applicants must have an active registration to receive funding from HUD. The System for Award Management (SAM) is a free web site that consolidates the capabilities you used to find in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.
5. Additional HOPE VI Main Street program related resources can be found at HUD's Main Street website at <http://www.hud.gov/mainstreet/>

B. Content and Form of Application Submission.

To ensure that the correct Application Package and Application Instructions are used, applicants must verify that the CFDA Number and CFDA Description on the first page of the Application Package downloaded from Grants.gov, as well as the Funding Opportunity Title, and the Funding Opportunity Number match the Program and NOFA to which they are applying. Applications will only be considered for the competition indicated in box 11, 12, and 13 on the SF-424 submitted in the application.

1. Content

Forms for your package include the forms outlined below:

Additionally, your complete application must include the following narratives and non-form attachments.

1. Maximum Length and Format of the Application.

a. Length.

(1) The maximum length of the application is limited to 30 pages excluding Section Tabs, forms, the applicant's Section 3 Plan, third party Match and Leverage firm commitment letters, other third party documents needed to address NOFA requirements, maps and drawings, and the applicant's Code of Conduct (if not already on HUD's website at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/conduct)

(2) Pages that exceed the length requirements, based on the below formatting requirements, will not be reviewed and will not be part of the rating process.

b. General Formatting

- (1) Pages should be formatted to 8 1/2 x 11 portrait with one inch margins. Pages should be double spaced. Single spaced documents will be counted as two pages. Font size must be 12-point font Times New Roman. Pages must be numbered. The applicant's documents must be readable in HUD's standard office software, Microsoft Office 2010.
- (2) All text, i.e., Executive Summary and Narratives, may be contained in one file, but each narrative must be separated with titles that identify the applicable NOFA subject matter, e.g., Thresholds, Rating Factor 1.
- (3) Third party and existing documents if not available in MS Office formats may be provided in PDF format.
- (4) Pages of forms and certifications provided by HUD must remain as numbered by HUD. These forms do not count toward the page limits.

(5) NON-CONFORMING FILE NAMES WILL CAUSE THE APPLICATION TO BE REJECTED.

When attaching files to create your application, do not attach files with file names that exceed 50 characters in length. Do not use spaces or special characters as part of the file name. Failure to follow these directions will result in your application being rejected by the Grants.gov system as containing a virus. See the General Section for details.

(6) It is to the applicant's benefit to use descriptive and sequential file names, with abbreviations to stay within the 50 character limit. The HUD application reviewers receive your application's files in digitized format from Grants.gov, with the file names that you apply. The HUD reviewer has to identify and collate the narratives, documents and forms you submit before starting to review your application. In order to guarantee that your application is reviewed the way you want to present it, the file names should be descriptive and have a sequence number. As examples, to help ensure that the Executive Summary is properly identified and read by the HUD reviewer before the narrative to Rating Factor 1, you might use these file names: for the Executive Summary, "Tab_B_Mayberry_Exec_Sum"; for the Rating Factor 1 narrative, "Tab_C_Mayberry_Factor_1_Narr". As examples, other file names might be "Tab_N_MnSt_Area_and_Site_Map" and "Tab_O_Unit_Config". Note that there are no special characters, e.g., "&", "@", and underscores, e.g., "_", are used instead of spaces and dashes, and all file names are less than 50 characters, including underscores.

c. Specific Formatting

The Main Street Area Map, including identification of all project sites and public transit access points must be in PDF format on one page. The original map may be shrunk from a document larger than the page requirements in this Section;

The representative affordable housing unit layout may be limited to one page that contains between one to four unit styles, depending upon the applicant's plans; and

Applicant Team résumés can be placed with more than one résumé per page. Do not include Social Security Numbers on the résumés.

2. Format and Form.

Narratives and other attachments to your application must follow the following format guidelines.

a. In order to ensure that the Application reviewer is able to find information that applies to the various Rating Factors, the Application should be structured in the following tabular format.

(1) List of Application Sections.

- (a) Tab A: SF424 Application for Federal Financial Assistance.
- (b) Tab B: Executive Summary.

- (c) Tab C Factor 1, Capacity, Narrative Response.
- .Rating Factor 2, Need, does not require any narrative or documentation and does not need a Tab.
- (d) Tab D: Rating Factor 3, Readiness Narrative Response;
- (e) Tab E: Rating Factor 4, Appropriateness of the HOPE VI Main Street affordable housing project, Narrative Response;
- (f) Tab F: Rating Factor 5, Program Administration and Fiscal Management, Narrative Response;
- (g) Tab G: Rating Factor 6, Fair Housing and Equal Opportunity;
- (h) Tab H: Match and Leverage Firm Commitment Third-Party Letters or Documents;
- (i) Tab I: Readiness Certifications and Documents;
- (j) Tab J: Program Schedule;
- (k) Tab K: HOPE VI Main Street Application Data Sheet, form HUD-52861 (Note, to stay below 50 characters in a file name that includes a HUD form, the HUD form number may be used. In this case, the file name could be, “Tab_K_HUD-52861.”);
- (l) Tab L: 5-Year Cash Flow Pro forma or Equity Sharing Terms;
- (m) Tab M: HOPE VI Budget, form HUD-52825A;
- (n) Tab N: Map of HOPE VI Main Street Area showing location of project sites and HOPE VI Main Street area boundaries. The Main Street Area Map, including identification of all project sites and public transit access points, must be in PDF format on one page. The original map may be shrunk from a document larger than the page requirements in this Section;
- (o) Tab O: Site Plans, Typical Unit Layouts, Building Elevations, SHPO Letter. The representative Main Street affordable housing unit layout may be limited to one page that contains between one to four unit styles, depending upon the applicant’s plans;
- (p) Tab P: Affirmatively Furthering Fair Housing Statement, Section 3 Plan;
- (q) Tab Q: Code of Conduct (including distribution methodology);
- (r) Tab R: Energy Efficiency
- (s) Tab S: Preferred Sustainable Communities Certification, form HUD-2995, if applicable;
- (t) Tab T: Applicant/Recipient Disclosure Report, form HUD-2880, “HUD Applicant Recipient Disclosure Report,” if applicable;
- (u) Tab U: Disclosure of Lobbying Activities, Standard Form LLL, if applicable; and
- (v) Tab V: Grants.gov Facsimile Transmittal Form.

Application Documentation. The application content is composed of the following items:

b. SF424 Application for Federal Financial Assistance.

- (1) Box 8a on the SF424 must contain the applicant legal name under which the applicant pays taxes and which matches the legal name used when you registered with Dun and Bradstreet and the Central Contractor Registration (CCR) at www.Sam.gov. These databases interact with each other and therefore the information provided when setting up the registration needs to match the Application for Federal Financial Assistance.
- (2) Box 21 on the SF-424 must contain the name of the person who has the authority to commit to contracts and grants.
- (3) The application should include a copy of the governing body's authorization for the signatory to

sign the application as an official representative that has the authority to commit the applicant to the terms of this NOFA.

c. Threshold Documentation. YOUR APPLICATION MUST MEET ALL THRESHOLDS TO BE ELIGIBLE FOR AN AWARD THROUGH THIS NOFA.

(1) Applicant Eligibility –

(a) Local Government – HUD will refer to your completed SF-424 to determine if you are a Local Government, which must be included in your application.

(b) Maximum population of 50,000 – HUD will refer to the U.S. Census Bureau website http://factfinder.census.gov/faces/nav/jsf/pages/community_facts.xhtml to determine your jurisdiction's population.

(c) Maximum of 100 public housing units in your jurisdiction – The applicant should refer to the list of public housing developments, “Development Detail Report 09302015,” which is included in the NOFA download from Grants.gov, to determine the number of public housing units in the applicant's jurisdiction and include that number in the Executive Summary. During application rating and ranking, the reviewers will use that list to search for a PHA that is part of your local government, then search for a county/parish-wide PHA for the county/parish stated on the SF-424, then contact that PHA, if one exists, and request information on public housing developments that are located within the local government applicant's jurisdiction. Only developments within the local government applicant's jurisdiction will be counted. All developments in the county/parish will only be counted in the event that the applicant is the county/parish. The reviewers will then add all public housing units from all public housing developments that are within the applicant's jurisdiction. The total will be counted against the 100 public housing unit maximum allowed. Section 8 units are not counted.

(2) Match Requirement – A firm commitment letter must be included in the application for each source of funds or in-kind services. If the application does not include a firm commitment letter, the funds will not be counted toward Match. To be counted as a firm commitment letter, the letter must meet the firm commitment requirements stated in the Definitions section, I.A.4.f. of this NOFA

(3) Main Street Area Defined in a Map - The applicant must have within its jurisdiction a Main Street Area which meets the definition in this NOFA, and the applicant must provide a map as described in Section III.B.2.d. of this NOFA.

(4) One Main Street Area Funded – Your application must include a narrative statement that the applicant is only requesting funding for one Main Street Project. In addition, you must include the Project location(s) on your Main Street Area Map, as required in section (3), above.

(5) Written Code of Conduct – You must include your jurisdiction's Code of Conduct unless your Code of Conduct is already on HUD's Code of Conduct website at http://portal.hud.gov/hudportal/HUD?src=program_offices/administration/grants/conduct.

d. Executive Summary. The Executive Summary should include the number of public housing units in the applicant's jurisdiction. It should also describe the Main Street Plan including the types of housing to be developed (walk-up above retail space, detached or attached homes, etc.); the number of units, buildings, and private owners (if any); the Main Street Area that surrounds the Project including basic features such as restoration of streets, mixed use, commercial, and other non-housing Main Street rejuvenation components; the number of rental vs. Homeownership units proposed in the application; the amount of Main Street grant funds being requested; the list of funding sources other than the Main Street grant for the housing and any funds that will not be attached to the Project, but will contribute to the Main Street rejuvenation area as a whole; whether the applicant has procured or will procure a Developer, act as the Developer, or hire another type of development manager.

e. Documents that are required by a Rating Factor are stated in the Rating Factor in Section V.A. of this NOFA.

C. System for Award Management (SAM) and Dun & Bradstreet Universal Numbering System (DUNS) Number.

1. SAM Registration Requirement.

Applicants must be registered with SAM before submitting their application. In addition, applicants must continue to maintain an active SAM registration with current information at all times during which they have an active Federal award or an application or plan under consideration by HUD.

2. DUNS Number Requirement.

Applicants must provide a valid DUNS number in their application. DUNS numbers may be obtained for free at <http://fedgov.dnb.com/webform>.

D. Application Submission Dates and Times.

The application deadline is 11:59:59 p.m. Eastern time on **04/12/2016**. Applications must be received no later than the deadline.

Submit your application to Grants.gov unless a waiver has been issued allowing you to submit your application in paper form or you are applying for the Continuum of Care program. The Continuum of Care application is submitted through HUD's e-snaps system. Instructions for submitting your application to Grants.gov are contained within the Application Package you downloaded from Grants.gov. Instructions for submitting your paper application will be contained in the waiver of electronic submission.

Your application must be both **received and validated** by Grants.gov. Your application is "received" when Grants.gov provides you a confirmation of receipt and an application tracking number. **If you do not see this confirmation and tracking number, your application has not been received.**

After your application has been received, your application still must be validated by Grants.gov. During this process, your application may be "validated" or "rejected with errors." To know whether your application was rejected with errors and the reason(s) why, you must log into Grants.gov, select "Applicants" from the top navigation, and select "Track my application" from the drop-down list. If the status is "rejected with errors," you have the option to correct the error(s) and resubmit your application before the Grace Period ends. **If your application was "rejected with errors" and you do not correct these errors, Grants.gov will not send your application to HUD, and HUD will not review your application.** If your status is "validated" your application will be forwarded to HUD by Grants.gov.

1. Amending or Resubmitting an Application.

Before the submission deadline, applicants who choose to amend an application that has been validated by Grants.gov may resubmit a revised application containing the new or changed material. The resubmitted application must be received by the applicable deadline.

2. Grace Period for Grants.gov Submissions.

If an application is received by Grants.gov before the deadline, but is rejected with errors, applicants have a grace period of 24 hours beyond the application deadline to submit a corrected application that is received and validated by Grants.gov. Any application submitted during the grace period that does not meet the criteria above will not be considered for funding. There is no grace period for paper applications.

3. Late Applications.

An application received after the Program NOFA deadline date that does not meet the requirements of the grace period policy will be marked late, and will not be considered for funding.

4. Corrections to Deficient Applications.

Except as provided by the electronic submission grace period described in this notice, HUD may not consider any unsolicited information that applicants may want to provide after the application deadline. (Refer to 24 CFR part 4, subpart B.) In addition, HUD may not seek clarification of items or responses that improve the substantive quality of an applicant's response to any rating factors or which correct deficiencies which are in whole or part of a rating factor, including items that impact bonus points. HUD may contact the applicant to clarify other items in its application. In order not to unreasonably exclude applications from being rated and ranked in situations where there are curable deficiencies, HUD will notify applicants of each technical deficiency and will do so on a uniform basis.

If HUD finds a curable deficiency in an application, HUD will notify the applicant by email describing the clarification or technical deficiency. HUD will send an email to the person designated in item 8F of the SF424 and to the person listed as the authorized representative in item 21 of the SF424. Both email notifications will be sent from HUD with confirmation of delivery receipt requested. The email notifications will be the official notification of the need to cure a technical deficiency. It is the responsibility of applicants to provide accurate email addresses for receipt of these notifications and to monitor their email accounts to determine whether a cure letter has been received. The applicant must carefully review the request for cure of a technical deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Clarifications or corrections of technical deficiencies must be received by HUD within the time limits specified in the notification. In no case shall the time allowed to correct deficiencies exceed 14 calendar days or be less than 48 hours from the date of the email notification. The start of the cure period will be the date stamp on the email HUD sends to the applicant. If the deficiency cure deadline date falls on a Saturday, Sunday, federal holiday, or other day when HUD's Headquarters offices in Washington, DC, are closed, then the applicant's correction must be received on the next day that is not a Saturday, Sunday, or federal holiday, or other day when the HUD's Headquarters offices in Washington, DC, are closed.

Curable deficiency items must be submitted via email addressed to ApplicationSupport@hud.gov. When submitting technical deficiency cure items you must enter "Technical Cure" plus the Grants.gov application tracking number in the subject line of the email (e.g., Subject: Technical Cure - GRANT123456). If this information is not included, HUD will not be able to match the response to the application under review and the application may therefore be rejected due to the deficiency.

Corrections to a paper application should be sent in accordance with and to the address indicated in the notification of deficiency. HUD will treat a paper application submitted in accordance with a waiver of electronic application that contains the wrong DUNS number as having a technical deficiency. Failure to correct the deficiency and meet the requirement to have a DUNS number and active registration in SAM will render the application ineligible for funding.

E. Intergovernmental Review.

This program is subject to Executive Order 12372, Intergovernmental Review of Federal Programs. Executive Order 12372 allows each state to designate an entity to perform a state review function. To determine if your state has designated a State Point of Contact (SPOC), please go to http://www.whitehouse.gov/omb/grants_s poc/. States not listed on the website have chosen not to participate in the intergovernmental review process and, therefore, do not have a SPOC. If your state has a SPOC, you should contact the SPOC to see if that person/office is interested in reviewing your application before you submit it to HUD.

F. Funding Restrictions.

1. Eligible Grant Activities. Main Street Grant funds may be expended on the following activities:
 - a. Reconfiguration of commercial property, major rehabilitation of units that are not currently habitable or new construction to provide affordable rental or homeownership housing located within the Main Street Area. New construction and rehabilitation activities intrinsic to the development of the affordable housing units may extend to other portions of the Project, e.g. to the building envelope, to interior bearing walls of commercial space located below the affordable housing units, and to systems installation through commercial space located below or adjacent to the affordable housing units. (Note: Tenant-occupants displaced or temporarily relocated as a result of rehabilitation or reconfiguration are generally protected by the URA. See FY2016 General Section V.C. – Real Property Acquisition & Relocation for additional information)
 - b. Acquisition of land or property for the purpose of developing, reconfiguring, or rehabilitating commercial space or non-habitable affordable housing units in the Project. Acquisition of real property for a federally-funded program or project is subject to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) and its implementing regulations at 49 CFR part 24.
 - (1) When funds from this NOFA are used for Acquisition, the total cost of acquisition is included in HUD's maximum per unit Total Development Cost (TDC) limitation.
 - c. Long-term lease or transfer of Project title specifically for the purposes of obtaining tax credits or implementation of extended use restrictions, provided that the recipient owner entity of the title or lease includes the applicant. (Note: Tenant-occupants displaced or temporarily relocated as a result of rehabilitation or reconfiguration are generally protected by the URA. See FY2016 General Section V.C. – Real Property Acquisition & Relocation for additional information)
 - d. Architectural or engineering activities, surveys, permits and other planning and implementation costs related to the construction and rehabilitation of the Project.
 - e. Tax credit syndication activities.
 - f. Costs arising from the relocation of persons as a direct result of acquisition, demolition, or rehabilitation of real property for the Project in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) and its implementing regulations at 49 CFR part 24.
- g. Management improvements necessary for the proper development and management of the Project, such as:
 - (1) Staff training including travel related to affordable housing development and management;
 - (2) Procedure manuals;
 - (3) Accounting systems, excluding accounting services or bookkeeping;
 - (4) Lease documents;
 - (5) Resident screening procedures;
 - (6) Data processing systems;
- h. Leveraging non-HOPE VI funds and in-kind services. Leverage funds must be firmly committed, i.e., presented in accordance with the definitions of Commitment Letter and Leverage in the Definition of Terms, Section I. of this NOFA;
- i. Community and Supportive Services, subject to a cap of twenty-five percent (25%) of the requested grant amount;
- j. Sale of homeownership housing units within the Project; and

k. Section 3 activities delineated in 24 CFR part 135.

2. Ineligible Grant Activities

a. Grant funds may only be used to provide assistance to carry out eligible affordable housing activities, as stated in the above section of this NOFA.

b. Grant funds cannot be used to fund a rental reserve for the rent-up period or to support the rental income during the initial Use Restricted Affordable Housing period.

c. Main Street funds may not be used to settle litigation or pay judgments.

3. Cost Controls and Limitations on Expenditures.

a. The total amount of Main Street funds expended shall not exceed the Total Development Cost (TDC) for the total number of affordable housing units in a project with Main Street Use Restrictions as stated in Section III.C. of this NOFA. The Housing Cost Cap (HCC) does not apply to the Main Street program.

b. The latest procedures for HUD's establishment of TDC were published by HUD in Notice PIH 2011-38(HA), "Public Housing Development Cost Limits." The latest TDC limits themselves can be found at <http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>, or at <http://www.hud.gov/mainstreet/>.

c. Cost Control and Safe Harbor Standards. Certain fees and costs, including Developer Fee and construction related fees and profits, must be within the limits published in [Cost Control and Safe Harbor Standards](#).

d. Limitation on Eligible Expenditures. Expenditures on services, equipment, and physical improvements must directly relate to Project activities permitted under this NOFA.

e. Pre-award Activities. Award funds shall not be used to reimburse expenses incurred for the preparation of the application or prior to the start date of a grant from this NOFA.

f. Statutory Time Limit for Expenditures. Funds appropriated in FY2016 for this NOFA must be expended by September 30, 2023. Any funds that are not expended by the above date will be cancelled and returned to the United States Treasury. This is a statutory deadline and is firm. HUD reserves the right, however, to require an earlier expenditure deadline under a Grant Agreement.

Indirect Cost Rate

Indirect Cost Rate: No restrictions, applicants may use their negotiated rate or the *de Minimis* rate (10% of Modified Total Direct Costs).

G. Other Submission Requirements.

1. Discrepancies between the NOFA on Grants.gov and Other Documents.

The Program NOFA posted at the Grants.gov website is the official document HUD uses to solicit applications. Applicants are advised to review their application submission against the requirements in the posted Program NOFA. If there is a discrepancy between the Program NOFA posted on Grants.gov and other information provided in any other copy or version or supporting documentation, the posted Program NOFA located at www.Grants.gov prevails. If discrepancies are found, please notify HUD immediately by calling the program contact listed in the Program NOFA. HUD will post any corrections or changes to a Program NOFA on the Grants.gov website. Applicants who enroll an email address at the application download page will receive an e-mail alert from Grants.gov in the event the opportunity is changed.

2. Application Certifications and Assurances.

Applicants signing the SF424 cover page either through electronic submission or in paper copy submission (for those granted a waiver) affirm that the certifications and assurances associated with the application are material representations of the facts upon which HUD will rely when making an award to the applicant. If it

is later determined that the signatory to the application submission knowingly made a false certification or assurance or did not have the authority to make a legally binding commitment for the applicant, the applicant may be subject to criminal prosecution, and HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to federally-recognized Indian tribes, and those applicable to applicants other than federally-recognized Indian tribes. All program-specific certifications and assurances are included in the program Instructions Download on Grants.gov.

3. Lead Based Paint Requirements

When providing housing assistance funding for purchase, lease, support services, operation, or work that may disturb painted surfaces, of pre-1978 housing, you must comply with the lead-based paint evaluation and hazard reduction requirements of HUD's lead-based paint rules (Lead Disclosure; and Lead Safe Housing (24 CFR part 35)), and EPA's lead-based paint rules (e.g., Repair, Renovation and Painting; Pre-Renovation Education; and Lead Training and Certification (40 CFR part 745)).

When providing education or counseling on buying or renting housing that may include pre-1978 housing, when required by regulation or policy, inform clients of their rights under the Lead Disclosure Rule (24 CFR part 35, subpart A), and, if the focus of the education or counseling is on rental or purchase of HUD-assisted pre-1978 housing, the Lead Safe Housing Rule (subparts B, R, and, as applicable, F - M).

4. Indirect Cost Rate (ICR)

If you are a governmental organization or agency that receives more than \$35 million in federal funding, you are required to request an Indirect Cost Rate from your cognizant agency (2 CFR 200 Appendix VII). If you have not requested an indirect cost rate or have not received a negotiated indirect cost rate, you may not claim indirect costs until you receive a negotiated rate.

Non-governmental organizations: If your organization has never had an indirect cost rate and wishes to use the *de minimis* rate, your application's budget narrative must clearly state you intend to use the *de minimis* 10% of Modified Total Direct Costs (MTDC). If you are using a negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and include a letter or other documentation from the cognizant agency showing the approved rate.

Governmental organizations: If your organization has a negotiated indirect cost rate, your application's budget narrative must include the rate and a letter or other documentation from the cognizant agency showing the negotiated rate. If your organization has prepared and maintains documentation supporting an indirect rate proposal but has not negotiated approval of the rate, your application's budget narrative must include the rate and applicable distribution base. State and local government departments that have never negotiated indirect cost rates with the Federal government and receive less than \$35 million in direct Federal funding per year may use the 10% *de minimis* indirect cost rate, and must keep the documentation of this decision on file. Federally recognized Indian tribes that have never negotiated an indirect cost rate with the Federal government may also use the 10% *de minimis* rate and must keep the documentation of this decision on file.

V. Application Review Information.

A. Review Criteria.

1. Rating Factors

1. Rating Criteria.

a. The maximum number of points available under this NOFA is 100 points, with an additional two bonus points, as described below. The applicant must obtain at least 50 points in order to be eligible for award. Minimum documentation is described in Section IV.B. of this NOFA.

b. Rating Factor points are as follows:

RATING/POINTS FACTOR	NUMBER OF POINTS
Rating Factor 1 – Capacity	25
Rating Factor 2 - Need	4
Rating Factor 3 – Readiness	18
Rating Factor 4 - Appropriateness	30
Rating Factor 5 – Financial/Program Management	15
Rating Factor 6 - FHEO	4
SUB-TOTAL	96
Priority – AFFH	2
Priority – Energy	2
Promise Zone/Preferred Sustainability Status	2
TOTAL	102

Rating Factor 1 - Capacity

Maximum Points: 25

A. This factor addresses whether the applicant, its Developer or other development manager have the capacity and organizational resources to successfully implement the proposed activities within the grant period. When responding to this rating factor applicants should provide:

1. A list with the name and short description of each project that the applicant, Developer or other development manager completed, including:

a. whether the National Register of Historic Places (NRHP) or traditional architecture was included in the project,

b. dates completed,

c. names of the entities that the project was being developed for,

d. whether the applicant, Developer or other development manager was a grantee, sub-grantee or contractor,

e. The Agency that provided grants, contracts or grant funds for the project, if any.

2. Past Experience (up to 15 points).

a. Activity on Previous Main Street Grants. (up to 5 points)

(1) Applicants that are severely delayed in starting construction on an existing HOPE VI Main Street grant will not receive points for this subfactor. All other applicants will receive five (5) points for this subfactor.

(a) If the applicant has received an FY2014 or earlier HOPE VI Main Street grant, and has not started construction by the deadline date in this NOFA, the applicant will not receive these 5 points. HUD will determine whether construction has started by contacting the HUD Grant Manager for that grant and through reported construction progress in the HOPE VI Grants Management System. For the intended FY2017 grant award, the above exception applies to applicants that received an FY2015 or earlier HOPE VI Main Street grant and have not started construction.

b. Non-Main Street Past Experience (up to 10 points)

(1) The applicant will earn 10 points if the application demonstrates that the Applicant, its Developer or other development manager has extensive experience in developing or rehabilitating affordable housing **AND** NRHP or traditional architecture projects over the past three (3) years.

(2) The applicant will earn 7 points if the applicant demonstrates that the applicant, its Developer or other development manager has developed or rehabilitated affordable housing projects that did not contain NRHP or traditional architecture projects over the past three (3) years.

(3) The applicant will earn 4 points if the applicant demonstrates that the applicant, its Developer or other development manager has experience in developing or rehabilitating non-affordable housing projects that contained NRHP or traditional architecture over the past three (3) years.

(4) The applicant will earn a maximum of zero (0) points if the applicant cannot demonstrate that it, its Developer or other development manager has completed at least one affordable housing, or NRHP or traditional architecture project in the last three (3) years.

3. Knowledge of Key Personnel (up to 10 points). Key personnel are Applicant Team members that must remain part of the project for the project to be completed. Key personnel are the entities that will manage the activities of the other Applicant Team members and bring the project to successful completion. Key personnel include the applicant, Developer, other development manager and property owner. Applicants should show specific experience and duties that they have performed and relate that experience to the project proposed in the HOPE VI Main Street application.

a. The applicant will earn 10 points if the applicant demonstrates that its key personnel have extensive knowledge of the development or rehabilitation of affordable housing projects, including knowledge of

Federal accessibility requirements for persons with disabilities, **AND** that include NRHP or traditional architecture.

- b. The applicant will earn 7 points if the applicant demonstrates that its key personnel have knowledge of the development or rehabilitation of affordable housing projects, including knowledge of Federal accessibility requirements for persons with disabilities, and that do not contain NRHP or traditional architecture.
- c. The applicant will earn 4 points if the applicant demonstrates that its key personnel have knowledge of the development or rehabilitation of non-affordable housing projects and that contain NRHP or traditional architecture.
- d. The applicant will earn zero (0) points if the applicant cannot demonstrate its key personnel have knowledge of real property development or rehabilitation and knowledge of Federal accessibility requirements for persons with disabilities.

Rating Factor 2 - Need for Affordable Housing

Maximum Points: 4

A. HUD will use data from its records to rate this factor.

1. HUD will use its Comprehensive Housing Affordability Strategy (CHAS) database, which can be entered using the CHAS Data Query Tool at http://www.huduser.org/portal/datasets/cp/CHAS/data_query_tool_chas.html to determine whether the applicant suffers from a severe low-income housing problem. HUD will use the following methodology:

- a. Using the CHAS Data Query Tool, HUD will choose the Data Year 2008-2012. HUD will choose the Geographic Summary Level that matches the applicant, County for a county/parish applicant and Place for a city/town or other subdivision of a county/parish. After choosing the applicant's state and county or place, a data table will open up.
- b. For the section of the table labeled "Income by Cost Burden (Owners and Renters)"
- c. For the row "Household Income >50% to <=80% HAMFI"
- d. Under the column, "Cost burden > 30%"
- e. The applicant will receive 4 points if the number shown is greater than 15% of the total number of units listed at the far right of the row.

Rating Factor 3 - Readiness

Maximum Points: 18

A In responding to this rating factor, applicants must provide evidence of site control as follows:

1. Site Control and Zoning Approval. (Up to 8 points)

a. The application must demonstrate the following for this rating factor:

(1) For sites where the ownership WILL NOT change in order to perform the proposed activities, documentary evidence must be a copy of the site's deed that shows ownership by the applicant or member of the Applicant Team and a certification signed by the applicant's Mayor, city Registrar, or other authorized official stating that the applicant has the legal authority to perform the proposed activities in the application on the site. If the Project contains multiple sites, the documentation and certification must cover all sites.

(2) For sites where the ownership WILL change and site acquisition is required, the documentation must include the first page and execution page of the agreement, contract, sales option, or other document that gives the applicant legal authority to perform the proposed activities in the application on the site. If the Project contains multiple sites, the documentation and certification must cover all sites.

(3) For Zoning, the applicant's documentation must include a certification from the appropriate local official, e.g., local government engineer, zoning/land use official, documenting that all required land use approvals for developed and undeveloped land for development of residential housing of the construction type and tenure type contained in the application have been secured; or the request for such approvals is on the agenda for the next meeting of the appropriate authority responsible for granting such approvals, e.g., zoning board, county council, city council, etc. This documentation should include normal and customary building and construction permits and information on changes to zoning or land use that may be necessary at the Project site.

b. HUD will score this Rating Factor as follows:

- (1) The applicant will receive 8 points if the application includes documentation that the applicant has Site Control and approval of zoning that permits residential housing as proposed in the application.
- (2) The applicant will receive 5 points if the application includes documentation that the applicant has Site Control, but does not have approval of Zoning that permits residential housing as proposed in the application.
- (3) The applicant will receive 3 points if the application includes documentation that the applicant does not have Site Control, but does have approval of Zoning that permits residential housing as proposed in the application.
- (4) The applicant will receive zero (0) points if the application does not include documentation that the applicant has Site Control or approval of Zoning that permits residential housing as proposed in the application.

2. Key Personnel Timeliness (10 points):

a. In order to perform the required grant activities in a timely manner, the applicant must demonstrate that it is actively pursuing contracts with Key Personnel, as included in the application for Rating Factor 1, Section A.3., of this NOFA. HUD will score this Rating Factor as follows:

- (1) Timeliness of Applicant In-House Developer Capacity
 - (a) If the applicant has demonstrated in Rating Factor 1 – Capacity that it has, by the due date for applications stated in this NOFA, the in-house ability to successfully complete the grant activities, the applicant will receive 10 points.
or, if applicant in-house capacity does not exist,
- (2) Timeliness of Other Developer Capacity
 - (a) The applicant will receive 10 points if the application demonstrates that the applicant has a contract with, or has published a procurement solicitation to obtain, a Developer, other development manager or construction contractor before the date the application is submitted. (Note that under 24 CFR part 50 and Section III.D. of this NOFA, after application the grantee must not enter into a binding agreement for choice-limiting actions, such as construction or rehabilitation, until HUD completes an environmental review and the applicant receives approval of the property.)
 - (b) The applicant will receive 5 points if the application includes documentation that by the application deadline date the applicant has begun discussions with Developers, other development managers or construction contractors, with the intention of publishing a solicitation to obtain their services, but does not have a contract in place and has not published a solicitation to obtain these services.
 - (c) The applicant will receive 0 points if the application does not include documentation that by the deadline date the applicant has begun the procurement process or has had discussions with Developers, other development managers or construction contractors.

Rating Factor 4: Appropriateness of the Main Street Affordable Housing Project**Maximum Points: 30**

A. This rating factor encompasses several aspects of the Main Street Affordable Housing Project that indicate whether it would be a "good fit" physically and financially for the Main Street area. Applicants will be rated on these items as follows:

1. Feasibility of the HOPE VI Main Street Project (up to 8 points).

a. The applicant will receive 8 points if the application demonstrates that the Project is financially feasible over a period of five (5) years as demonstrated in form HUD-52861, the Cash Flow Pro Forma, requested award amount and financial documents in response to this rating factor, and is compliant with the Cost Controls and Safe Harbors document, which is part of the Grants.gov NOFA download.

b. The applicant will receive 4 points if the application demonstrates that the Project is financially feasible over a period of five (5) years, but does not meet the required Cost Controls and Safe Harbors, which is part of the Grants.gov NOFA download.

c. The applicant will receive 0 points if the application does not demonstrate financial feasibility and does not comply with Cost Controls and Safe Harbors.

2. Appropriateness in Context with the Main Street Area (up to 5 points)

a. The applicant will receive 5 points if the application demonstrates that the Project:

(1) Is appropriate and suitable in the context of the community and other affordable housing options, e.g., rehabilitation vs. new construction.

(2) Fulfills the need of the Main Street Area Rejuvenation effort as a whole.

b. The applicant will receive 3 points if the application meets either (1) or (2), above.

c. The applicant will receive zero (0) points if the application does not meet (1) and (2) above.

3. Promotion and Marketing (Up to 2 points).

a. The applicant will receive 2 points if the application sets forth a plan to promote and market the Main Street Area rejuvenation effort to financiers, to other parties that may be involved in the rejuvenation effort, and to possible future residents of the HOPE VI Main Street Affordable Housing Project.

b. The applicant will receive zero (0) points if the application does not include a plan for, or discussion of the above Promotion and Marketing effort.

4. Main Street Project and Rejuvenation Area Leverage (up to 10 points).

a. Project Leverage (5 points). The applicant should provide Leverage above the 5% Match threshold requirement in cash or in-kind supplies or services that is demonstrated to be firmly committed to the Main Street Project. The percentages in the Project Leverage scale, below, include the 5% threshold Match. If the application separates Match funds from other Project Leverage, add Match funds and other project leverage back together before calculating the leverage percentage. All Project Leverage sources must have firm commitment letters, in the submitted application package. To include funds received from a Federal program as part of the Match or Leverage amount, you must confirm that this use of funds is allowed by the Federal program. Concerning the value of the Project property before rehabilitation, if the real property is privately owned by a for-profit entity, its value will not be counted towards Match or Leverage. If it is publicly owned or owned by a non-profit, its value may be included as Match or Leverage.

(3) Items not firmly committed and listed will not be included in allocating points according to the following scale:

Total Project Leverage as a Percent of Award Amount**Points Awarded****Less than 10 percent of the requested funding amount under this NOFA.****0 points**

Greater than or equal to 10 percent but less than 25 percent	3 points
25 percent or more	5 points

b. Area Leverage (up to 5 points). The applicant must provide Area Leverage in cash or in-kind services that must be demonstrated to be firmly committed to the Main Street rejuvenation effort as a whole, i.e., committed to projects in the Main Street area other than the Affordable Housing Project to be developed through an award from this NOFA. Match and Project Leverage are not included in Area Leverage. Area Leverage may include the cost of infrastructure improvements, e.g., paving of streets, the value of private investment, e.g., facade or other rehabilitation, or the cost of other Main Street area improvements invested within the three years prior to the application due date. All Area Leverage sources must have firm commitment letters included in the application package. Sources with no firm commitment documentation will not be included in the amount of Leverage. Points for the Leverage amount will be allocated according to the following scale:

Main Street Area Leverage as Percent of Grant Amount	Points Awarded
Less than 100 percent of the requested funding amount under this NOFA.	0 points
Greater than or equal to 100 percent but less than 200 percent	3 points
200 percent or more	5 points

5. Retention of Historic or Traditional Architecture (Up to 5 points).

a. Under Section 106 of the National Historic Preservation Act and its implementing regulations, 36 CFR 800, a project must meet the Secretary of the Interior's Standards for Rehabilitation, or be treated as an Adverse Effect. This applies to buildings listed on or eligible for the National Register of Historic Places (NRHP). Most traditional architecture buildings will likely be eligible for the NRHP.

b. Scoring:

(1)The applicant will receive 5 points if the applicant demonstrates that the buildings in the Project will maintain all of the historic or traditional architecture and design features on building fronts and that the applicant has included in the application an elevation drawing of the Project front showing architectural detail that will be saved or has included an approval letter of planned rehabilitation from the State Historic Preservation Officer.

(2) The applicant will receive 3 points if the applicant demonstrates that the buildings in the Project will maintain at least 50 percent of the historic or traditional architecture and design features on building fronts and that the applicant has included in the application an elevation drawing of the Project front showing architectural detail that will and will not be saved or has included an approval letter of planned rehabilitation from the State Historic Preservation Officer.

(3) The applicant will receive zero (0) points if the applicant does not demonstrate that the buildings in the Project will maintain the historic or traditional architecture and design features on the fronts of all buildings.

Factor 5 - Financial and Program Management	Maximum Points: 15
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A. In responding to this rating factor, the applicant must demonstrate consistency in financials that are included in the application and how prepared they are to perform grant activities.

1. Consistency. (Up to 5 points)

a. The applicant will receive 5 points if the form HUD-52861, HOPE VI Main Street Application Data Sheet, contains no internal conflicts nor conflicts with other financial information in the Application, e.g., the total amount of the project budget on the HUD-52825A matches the total grant amount and costs in the HOPE VI Main Street column of the HUD-52861 Sources and Uses.

b. The applicant will receive 3 points if the form HUD-52861 contains no internal conflicts, but does contain conflicts with other financial documentation in the Application.

c. The applicant will receive zero points if the form HUD-52861 contains internal conflicts.

2. Preparation and Timeliness (Up to 5 points).

a. Obtaining information on the below three pre-award activities and using it in development of the Project Schedule is an indicator that the grant activities can be completed within the proposed award performance period.

(1) Contacted the State Historic Preservation Officer (SHPO), the local HUD Field Office, architects, material suppliers, and other parties that milestones depend upon, to ensure that the milestones are reasonable and an accurate depiction of the expected project timeline.

(2) Checked to see if any taxes were due on, or any litigation or court orders existed against, the proposed properties exist that will affect the milestones;

(3) Prepared a chart that depicts the estimated production milestones, their relative timeframes, and each milestone's time to completion. Applicants may submit a Gantt chart, Microsoft Project Plan, Excel Work Sheet or any document that would display the information requested.

b. Scoring

(1) The applicant will receive 5 points if the applicant has performed all three of the actions above.

(2) The applicant will receive 3 points if the applicant has performed two of the three actions above.

(3) The applicant will receive 0 points if the applicant has performed less than two of the actions above.

3. Achieving Results (Up to 5 points).

a. The following items indicate that a grantee is able to manage grant finances. The applicant will obtain points if third-party documents or letters in the application confirm that the applicant has:

(1) A history of completing projects on time and within budget;

(2) A clean financial statement; and if audited, a clean financial audit;

(3) Paid sub-grantees or sub-contractors in a timely fashion; and

(4) Met reporting requirements on past awards;

b. Scoring

(1) The applicant will receive 5 points if the applicant provides evidence that it has performed or achieved all four of the above activities or reports:

(2) The applicant will receive 3 points if the applicant provides evidence that it has performed or achieved two of the four above activities or reports:

(3) The applicant will receive 0 points if evidence is provided for less than two of the above four activities or reports.

Rating Factor 6 - Fair Housing and Equal Opportunity

Maximum Points: 4

A. Affirmative Fair Housing Marketing (up to 1 point).

1. The applicant will receive 1 point if the application demonstrates the rental and Homeownership housing will be affirmatively marketed to demographic groups in the local market area (including neighboring communities if the recipient community does not have residents in all demographic classes in the local area) that would be least likely to apply as well as persons with disabilities and large families. Documentation for this factor consists of a narrative describing the activities that will fulfill the factor requirements. See Section V.C. of the General Section.

2. The applicant will receive zero (0) points if the application does not demonstrate that the applicant will engage in appropriate Affirmative Fair Housing Marketing, as described above.

B. Set-aside for Very-Low Income Persons as required by statute (Up to 1 point).

1. If the applicant demonstrates that more than one unit, or at least 20% of the HOPE VI Main Street units, whichever is greater, is set aside for very low-income residents, the applicant will receive one point.

2. If the applicant does not demonstrate that more than one unit or at least 20% of the HOPE VI Main Street units, whichever is greater, are set aside for very low-income residents, the applicant will receive zero (0) points.

C. Distance from Public Transportation (Up to 1 point).

1. If the applicant demonstrates that the Main Street affordable housing Project units are within a one-quarter mile from a public transit stop, including any regional bus or train stops, the applicant will receive 1 point.

2. If the applicant does not demonstrate that at least 50% of the HOPE VI Main Street affordable housing Project units are within a one-quarter mile from a public transit stop, the applicant will receive zero (0) points.

D. Economic Opportunities for Low- and Very Low-income Persons (Section 3 Plan) (Up to 1 point).

1. Section 3 Plan for providing economic opportunities to residents of the metropolitan area or non-metropolitan county where the proposed project is located whose household income does not exceed HUD's income limits for low- and very low-income, particularly residents of public housing. Specifically:

a. The applicant will receive 1 point if the application demonstrates that the applicant has a feasible plan for directing new employment and contracting opportunities created during the expenditure of covered financial assistance to Section 3 residents and Section 3 business concerns. The Section 3 Plan must demonstrate that it effectively addresses a majority of the following items:

(1) Types and amounts of new employment and contracting opportunities to be generated as a result of the proposed Project or activities;

(2) Specific actions to be taken to ensure that low- and very low-income persons and the businesses that substantially employ these persons will be given priority consideration for new employment and contracting opportunities in accordance with 24 CFR part 135.34 and 135.36;

(3) Eligibility criteria to be used for certifying Section 3 residents and businesses;

(4) Process to be used for notifying Section 3 residents and businesses about the availability of employment and contracting opportunities, including efforts to utilize HUD's Section 3 business registry located online at <http://www.hud.gov/sec3biz>.

(5) Methodology used to monitor contractors and subcontractors awarded contracts to ensure compliance with Section 3; and

(6) Strategies for meeting minimum numerical goals for new employment and contracting opportunities found at 24 CFR part 135.30.

b. The applicant will receive zero (0) points if the Section 3 Plan does not address the required elements identified above.

2. NOFA Priorities.

HUD encourages applicants for funding to undertake programs and projects that contribute to HUD's NOFA Priorities. Applicants that undertake activities that result in achievement of specific NOFA Priorities listed below are eligible to receive priority points in the rating of their application. These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.

Affirmatively Furthering Fair Housing (Capital Investment or as specified in Individual Program NOFA)

For this Priority Rating Factor (up to 2 points):

a. CRITERIA FOR “AFFIRMATIVELY FURTHERING FAIR HOUSING”

- (1) Provide Housing for range of incomes/family sizes
- (2) Provide Mobility Counseling
- (3) Follow Location criteria (build affordable housing in non-minority or non-poverty concentrated areas)
- (4) Train Staff
- (5) Provide outreach to marginalized populations
- (6) Partnerships with Fair Housing Organizations, Allied State and local agencies, or community-based organizations representative of populations affected by HUD projects.

b. Addressing Impediments to Fair Housing (1 point):

- 1. Applicants may earn 1 point by demonstrating that a primary goal of its planning activities will be addressing one or more impediments that contribute to patterns of residential segregation as identified in the jurisdiction’s or region’s Analysis of Impediments of Fair Housing Choice or Fair Housing and Equity Assessment if a Sustainable Communities Regional Planning Grant was awarded to the jurisdiction or region; and,

c. Participative Planning and Implementation (1 point):

- 1. Applicants may earn 1 NOFA priority point by identifying the steps that the applicant will take that will ensure that traditionally marginalized populations (such as racial and ethnic minorities and persons with disabilities) will be able to meaningfully participate in the planning process. To earn this point, the applicant must identify the specific populations that it will include, identify community organizations that represent these populations, and describe how these populations will be included in the planning process. For capital investment projects, grantees should commit to and demonstrate plans to employ low-income and very low-income persons and/or utilize Section 3 businesses at levels beyond those required by Section 3.

Increase Energy Efficiency and the Health and Safety of Homes (Capital Investment and Planning NOFAs or as Specified in Individual Program NOFA)

For this Priority Rating Factor (up to 2 points):

a. Green Building Standard (up to 1 point):

- (1)The applicant will receive 1 point if the applicant demonstrates its commitment to follow Green Building Standards

- (a) Green Building Standard: The applicant commits to pursue a comprehensive, industry-recognized green building standard and certification for green building, such as the Enterprise Green Communities Criteria (which are suitable for all development types, including New Construction, Substantial Rehab, and Moderate Rehab); the ICC 700 National Green Building Standard; LEED ND, LEED-H, LEED-H Midrise, LEED-NC, or one of a number of regionally-recognized green building standards such Earthcraft House, Earthcraft Multifamily, Earth Advantage New Homes, Greenpoint Rated New

Home, Greenpoint Rated Existing Home (Whole House or Whole building label), or other industry-recognized green building standard in HUD's sole discretion. Additionally, the applicant must later submit a certification of completion, and provide evidence that the green building standard has been achieved.

b. Renewable Energy

(1) The applicant will receive 1 point if the applicant demonstrates its commitment to incorporate Renewable Energy into the Project.

(a) The applicant certifies that the proposed project will incorporate renewable energy technologies such as on-site Solar Photovoltaic (PV) or Solar Thermal Electric, as well as Landfill Gas, Wind Energy, Biomass, Geothermal Electric, Combined Heat and Power, Municipal Solid Waste, Small Hydroelectric, Fuel Cells using Renewable Fuels in any federally assisted property receiving funds through this NOFA. In implementing renewable systems, the project must meet the Secretary of the Interior's Standards for Rehabilitation and the Secretary of the Interior's Illustrated Guidelines on Sustainability for Rehabilitating Historic Buildings. This applies to buildings listed on or eligible for the National Register of Historic Places (NRHP). Most traditional architecture buildings will likely be eligible for the NRHP.

3. Bonus Points.

In support of certain inter-agency initiatives, HUD awards bonus points to projects where the preponderance of work will occur in a designated zone, community or region. **These points will be awarded only if the application otherwise meets or exceeds the Program's minimum fundable score based on the rating factors of this NOFA.**

HUD encourages activities in communities with Preferred Sustainability Status (PSS) and/or Promise Zones (PZ), HUD will award two (2) points for qualified activities within a designated zone or area and supporting either or both initiative(s). In no case will HUD award more than two bonus points for these activities.

a. To receive **Preferred Sustainability Status Communities Bonus Points**, applicants must submit form HUD2995, Certification of Consistency with Sustainable Communities Planning and Implementation, signed by the designated Preferred Sustainability Status Community point of contact. Designated PSS Communities Points of Contacts can be found on HUD's website at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/nofa11/psscontacts.

b. To receive **Promise Zones Bonus Points**, applicants must submit form HUD 50153, Certification of Consistency with Promise Zone Goals and Implementation, signed by the Promise Zone Official authorized to certify the project meets the criteria to receive bonus points. To view the list of designated Promise Zones and persons authorized to certify, please go to <https://www.hudexchange.info/promise-zones/promise-zones-designees/>.

B. Reviews and Selection Process.

1. Past Performance

In evaluating applications for funding HUD will take into account an applicant's past performance in managing funds, including, but not limited to: the ability to account for funds appropriately; the timely use of funds received from HUD or other federal, state, or local programs; the timely submission and quality of reports submitted to HUD; meeting program requirements; meeting performance targets as established in Logic Models or other performance evaluation tools approved as part of the grant agreement; the timelines for completion of activities and receipt of promised matching or leveraged funds; and the number of persons to be served or targeted for assistance. Before making a Federal award, HUD is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 note to review information available through any OMB-designated repositories of

government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and “Do Not Pay.” HUD may consider other public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or hotline or other complaints that have been proven to have merit. In evaluating past performance, HUD may deduct points from the rating score or establish threshold levels as specified under the Factors for Award in the Program NOFAs. Each Program NOFA will specify how past performance will be rated.

2. Integrity

HUD evaluates the integrity of the applicant as reflected in government-wide websites, information in HUD’s files, the federal Do Not Pay portal, public information and information received during HUD’s Name Check Review process. If this integrity evaluation results in an adverse finding, HUD reserves the right to take any of the remedies provided in Section III.C.4.a.5, Do Not Pay website Review.

1. Application Screening.

a. HUD will screen each application to determine if it meets the threshold criteria listed in Section III.C. of this NOFA; and whether it is deficient and subject to corrections of technical deficiencies as described in HUD’s FY2016 General Section in Section IV.B., entitled, “Corrections to Deficient Applications”.

2. Applications that will not be Funded.

a. HUD will not rate and rank applications that fail to cure technical deficiencies within the time frame provided by HUD.

b. HUD will not rate, rank or fund applications that fail any of the threshold eligibility requirements contained in Section V.B. of the FY2016 General Section and Section III.C. of this program NOFA.

3. Preliminary Rating and Ranking.

a. HUD staff will preliminarily rate each application from an eligible applicant that has met all thresholds solely on the basis of the rating Factors, plus bonus points. An eligible applicant is an applicant that meets all of the eligibility and threshold requirements in Section III. of this NOFA.

b. When rating applications HUD reviewers will only use the information in the application and information available to HUD as described in Section V.A. and in the FY2016 General Section.

c. The HUD reviewer will assign a preliminary score for each Rating Factor and a preliminary total score for each eligible application.

d. A different HUD staff person will perform a second review and rating of each eligible application. If the scores differ between the first and second reviewer the HUD staff reviewers will discuss their reasoning and then come to a consensus score.

e. Applications that do not have a minimum score, including bonus points, of 50 points will not be funded.

f. After scores are assigned, applications will be placed in rank order by score.

4. Final Panel Review.

A Final Review Panel Made up of HUD HOPE VI Main Street Program experts and HUD Management will:

a. Review the preliminary Rating and Ranking documentation to ensure that any inconsistencies between preliminary reviewers have been identified and rectified and that the documentations of the rating and ranking accurately reflects the content of the application;

b. Assign a final score to each application;

c. Recommend for selection the most highly rated applications, subject to the amount of funding available.

d. HUD reserves the right to make reductions in funding for any non-allowable costs, costs that are not

reasonable in relationship to the work to be carried-out, or costs that are not allocable according to the applicable 2 CFR 200 covering cost principles. If such reductions occur, HUD will accordingly reduce the proposed award amount and require a condition on the award that the final budget and pro forma and other budget related documents be revised by the selected applicant accordingly before a final award can be executed.

5. Tie Scores.

If two or more applications have the same score and there are insufficient funds to select all of them, HUD will select the applicant with the highest score for Rating Factor 1, Section V.A.1.A of this NOFA. If a tie remains, HUD will select the applicant with the highest score Rating Factor 3, Section V.A.1.C. of this NOFA. If a tie score still remains, HUD will select the applicant with the highest score for Rating Factor 4, Section V.A.1.D. of this NOFA.

6. If after funding eligible applicants there are remaining funds that are less than the amount of funding requested in the next eligible application, HUD may offer a lesser amount of funding to the next eligible applicant or, if such action is not feasible, retain the remaining funds for other programs funded under the same appropriation.

7. Debriefing.

Applicants may request a debriefing in accordance with the debriefing provisions in Section VI.D. of the FY2016 General Section and Section VI.D of this NOFA.

C. Anticipated Announcement and Award Dates.

1. Application Deadline. The application deadline date is 04/12/2016. Applications submitted through www.Grants.gov must be received no later than 11:59:59 p.m. eastern time on the application deadline date. Please see the FY2016 General Section VI.B., for instructions on timely receipt, including actions to take if the application is rejected.

2. Estimated Award Date. The estimated date for awarding currently available FY2016 Main Street funds is July 1, 2016. The award of FY2017 Main Street funds to FY2016 applicants is contingent upon future congressional action. HUD's intent to award FY2017 funds to FY2016 applicants will be announced separately if such funds become available.

VI. Award Administration Information.

A. Award Notices.

Following the evaluation process HUD will notify successful applicants of their selection for funding. HUD will also notify all other applicants, whose applications were received by the deadline, that have not been chosen for award. Notifications will be sent by email, delivery receipt requested, to the person designated in item 8F of the SF424 and to the person listed as authorized representative in item 21 of the SF424.

1. Initial Announcement.

a. Award announcement letters are sent to each successful applicant. The date of the "Award Notification Letter" signifies that the grant period of performance has begun and future allowable grant costs can be charged to the grant. HUD will send a grant funds obligation document, form HUD-1044, "Assistance Award/Amendment," to each successful applicant for signature along with a Grant Agreement, which will specify the duration and terms and conditions of the grant.

b. There will be three copies of the form HUD-1044, "Assistance Award/ Amendment." The grantee must sign the HUD-1044s to indicate acceptance of the grant award and return them via overnight mail to the Grants Administrator at:

U.S. Department of HUD
Office of Public Housing Investments
451 7th Street, SW Room 4130
Washington, DC 20410
Attn: Lawrence Gnessin
Phone: 202-402-2676

2. Applicants not funded will be provided notification by email or mail at HUD's discretion.
3. Preliminary Environmental Approval. HUD's notification of award to a selected applicant constitutes a preliminary approval by HUD subject to completion of an environmental review of the proposed sites in accordance with 24 CFR part 50.

B. Administrative, National and Department Policy Requirements.

For this NOFA, the following requirements apply:

Equal Access to HUD-assisted or HUD-insured Housing.

HUD is committed to ensuring that its housing programs are open to all eligible individuals and families regardless of sexual orientation, gender identity or marital status. HUD funding recipients and subrecipients must comply with 24 CFR 5.105(a)(2) in connection with determining eligibility for housing assisted with HUD funds or subject to an FHA-insured mortgage, and in connection with making such housing available. This includes making eligibility determinations and making housing available regardless of actual or perceived sexual orientation, gender identity, or marital status, and prohibiting inquiries about sexual orientation or gender identity for the purpose of making eligibility determinations or making housing available. Applicants are encouraged to become familiar with these requirements, HUD's definitions of sexual orientation and gender identity at 24 CFR 5.100, clarifications to HUD's definition of family at 24 CFR 5.403, and other regulatory changes made through HUD's Equal Access Rule, published in the Federal Register at 77 FR 5662 (Feb. 3, 2012).

Real Property Acquisition and Relocation.

Except as otherwise provided by federal statute, HUD-assisted programs or projects are subject to the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Act or URA) (42 U.S.C. 4601-4655), and the government-wide implementing regulations issued by the Federal Highway Administration at 49 CFR part 24. The Uniform Act applies to acquisitions of real property and displacements resulting from the acquisition, rehabilitation, or demolition of real property for Federal or federally-assisted programs or projects. With certain limited exceptions, real property acquisitions for programs or projects that receive federal financial assistance from HUD must comply with 49 CFR part 24, subpart B.

To be exempt from the URA's acquisition requirements, real property acquisitions conducted without the threat or use of eminent domain, commonly referred to as "voluntary acquisitions," must satisfy the applicable requirements of 49 CFR 24.101(b)(1) through (5). Records demonstrating compliance with these requirements must be maintained by the recipient. The URA's relocation requirements remain applicable to any tenant who is displaced by an acquisition that meets the requirements of 49 CFR 24.101(b) (1) through (5).

The relocation requirements of the Uniform Act, and its implementing regulations at 49 CFR part 24, cover any person who moves permanently from real property or moves personal property from real property as a direct result of acquisition, rehabilitation, or demolition for a program or project receiving HUD assistance. While there are no URA statutory provisions for "temporary relocation", the URA regulations recognize that

there are circumstances where a person will not be permanently displaced but may need to be moved from a project for a short period of time. Appendix A of the URA regulation (49 CFR 24.2(a)(9)(ii)(D)) explains that any tenant who has been temporarily relocated for a period beyond one year must be contacted by the displacing agency and offered URA permanent relocation assistance. Some HUD program regulations provide additional protections for temporarily relocated tenants. Before planning their project, applicants must review the regulations for the programs for which they are applying. Generally, the URA does not apply to displacements resulting from the demolition or disposition of public housing covered by Section 18 of the United States Housing Act of 1937. Individual Program NOFAs may have additional relocation guidance and requirements.

Additional resources and guidance pertaining to real property acquisition and relocation for HUD-funded programs and projects are available on HUD's Real Estate Acquisition and Relocation website at www.hud.gov/relocation. Applicable laws and regulations, policy and guidance, publications, training resources, and a listing of HUD contacts are also available for applicants who have questions or are in need of assistance.

OMB Administrative Requirements and Cost Principles.

Unless excepted under 24 CFR chapters I through IX, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, set forth in 2 CFR part 200, shall apply to Federal Awards made by the Department of Housing and Urban Development to non-Federal entities.

C. Reporting.

1. Race and Ethnicity Data Reporting Form. HUD requires grantees that provide HUD-funded program benefits to individuals or families to report data on the race and ethnicity of those individuals receiving such benefits. Grantees that provide benefits to individuals during the period of performance, whether directly or through subrecipients or contractors, must report the data using the Race and Ethnic Data Reporting Form found on Grants.gov. The form is a data collection based on the standards published by OMB on August 13, 2002.

2. Grants Management System (GMS) Quarterly Administrative and Compliance Checkpoints Report (Quarterly Progress Report or QPR).

Grantees will be required to report quarterly into this HUD on-line system. The report captures the following information:

a. During Initial Setup

- (1) The initial Program Schedule, which will create planned activity milestones.
- (2) The HOPE VI Main Street affordable housing Project's unit mix, including:
 - (a) Number and size (by number of bedrooms) of housing units;
 - (b) Unit Type, e.g., walk-up, row house, etc.
 - (c) Unit Use Restriction type, e.g., limited to very low-income residents, to low-income residents, not limited.

b. On a quarterly basis:

- (1) Administrative and production planned and actual date milestones, called "Checkpoints;"

c. HUD will provide training and technical assistance on the filing and submission of Main Street Quarterly Progress Reports.

d. Filing of Quarterly Progress Reports is mandatory for all grantees, and failure to do so within the required quarterly time frame will result in suspension of grant funds until the report is filed and approved by HUD.

e. Grantees will be held to the milestones/Checkpoints that are reported in the Quarterly Progress Report, as approved by HUD. If Checkpoints are missed, the grantee technically will be in default of the Grant Agreement until the late Checkpoint activity is completed, or HUD approves an updated Program Schedule.

3. During the Use Restricted Period

The grantee must maintain resident income information to the extent that very low- and low-income residents are occupying units that are set aside for their income levels. This income data must be made available for HUD inspection upon request.

4. eLOCCS. On a real-time basis, and at least monthly if no transactions occur during a month, grantees must report all obligations and expenditures in HUD's Line of Credit Control System (LOCCS), or its successor system. Grantee obligations must be entered into eLOCCS before funds can be drawn down to pay for those obligations. The grantee has 72 hours from the time of the funds draw to payment of the obligation.

5. Annual Real Property Status Report. Per 2 CFR §200.329, the applicant is required to report annually on Real Property. Standard Form SF-429 may be used. The form can be obtained at https://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/sf-429.pdf

6. Final Report.

Within 90 days after the either the Project units have been completed, or when the grant term expires, whichever comes first, the grantee shall submit a final report. The final report will include a financial report, a narrative evaluating overall performance against its HOPE VI Main Street application and HOPE VI Main Street Quarterly Progress Report. Grantees shall use quantifiable data to measure performance against goals and objectives outlined in its application.

7. Final Audit. In accordance with 2 CFR 200, Subpart F, grantees are required to obtain a complete closeout audit of the use of grant funds from this NOFA. Usually the closeout audit consists of the grantee's city/county audits covering all years in which grant funds were expended. Subpart F also allows a program specific separate audit to be performed for the grant. The audit must be completed by a Certified Public Accountant (CPA) in accordance with generally accepted government audit standards. Audit reports must be forwarded to HUD within 90 days of issuance of the final year's audit results.

Please direct questions regarding specific reporting requirements to the point of contact listed in Section VII below.

D. Debriefing.

For a period of at least 120 days, beginning 30 days after the awards for a Program NOFA are publicly announced, HUD will provide to a requesting applicant a debriefing related to its application. A request for debriefing must be made in writing or by email by the authorized official whose signature appears on the SF424 or by his or her successor in office, and be submitted to the person, organization, or email address identified as the contact under the section entitled Agency Contact(s) in the Program NOFA. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which assistance was provided or denied.

VII. Agency Contact(s).

HUD staff will be available to provide clarification on the content of this NOFA. Please note that HUD staff cannot assist applicants in preparing their applications.

Questions regarding specific program requirements for this NOFA should be directed to the point of contact listed below.

Lawrence Gnessin

(202) 402-2676

lawrence.gnessin@hud.gov

Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

VIII. Other Information.

Paperwork Reduction Act Statement. The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C.3501-3520). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid OMB control number. Each Program NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR Part 50, which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The FONSI is available for inspection at HUD's Funds Available web page at http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail.